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Performance Based Leadership Development In Organizational Settings

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AD A081 422

Basic Research



U. S. Army

Research Institute for the Behavioral and Social Sciences

September, 1979

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REPORT DOCUMENTATION PAGE		READ INSTRUCTIONS BEFORE COMPLETING FORM
1. REPORT NUMBER	2. GOVT ACCESSION NO.	3. RECIPIENT'S CATALOG NUMBER
4. TITLE (and Subtitle) PERFORMANCE BASED LEADERSHIP DEVELOPMENT IN ORGANIZATIONAL SETTINGS		5. TYPE OF REPORT & PERIOD COVERED Final; Sept. 1, 1977-Aug. 31, 1979
6. PERFORMING ORG. REPORT NUMBER		7. CONTRACT OR GRANT NUMBER(s)
8. AUTHOR(s) Joseph Earl Joseph A./Sgro C./Pence A./Orban		9. DAHC 19-77-C-0035
9. PERFORMING ORGANIZATION NAME AND ADDRESS Virginia Polytechnic Institute and State University Blacksburg, Virginia 24061		10. PROGRAM ELEMENT, PROJECT, TASK AREA & WORK UNIT NUMBERS 2Q161102B74F
11. CONTROLLING OFFICE NAME AND ADDRESS U. S. Army Research Institute for the Behavior and Social Sciences 5001 Eisenhower Ave., Alexandria, VA 22333		11. REPORT DATE September 1979
12. MONITORING AGENCY NAME & ADDRESS (if different from Controlling Office) 467		12. NUMBER OF PAGES 475
13. DISTRIBUTION STATEMENT (of this Report) Approved for public release; distribution unlimited		13. SECURITY CLASS. (of this report) Unclassified
14. DISTRIBUTION STATEMENT (of the abstract entered in Block 20, if different from Report) 9 Final rept. 1 Sep 77-31 Aug 79		14. DECLASSIFICATION/DOWNGRADING SCHEDULE
15. SUPPLEMENTARY NOTES ARI Contract Monitor Anthony E. Castelnovo 18 ARI 19 RN-80-7		
16. KEY WORDS (Continue on reverse side if necessary and identify by block number) Leadership Leadership Development Performance Based Leadership Organizational Maturity Communication Human Relations Power Organizational Structure		
17. ABSTRACT (Continue on reverse side if necessary and identify by block number) Development of a model of leadership that is performance-based and may be used at the precommissioned officer level is presented. The report has four sections. Section I is an introduction to leadership in the military with an emphasis on the present issues facing the newly commissioned lieutenant. Section II is a review of twelve contemporary theories of leadership. Section III presents a model of leadership specific to the role of lieutenant. The model describes leadership in terms of the organizational maturity of both the lieutenant and his or her subordinates. Basic leadership skills necessary for		

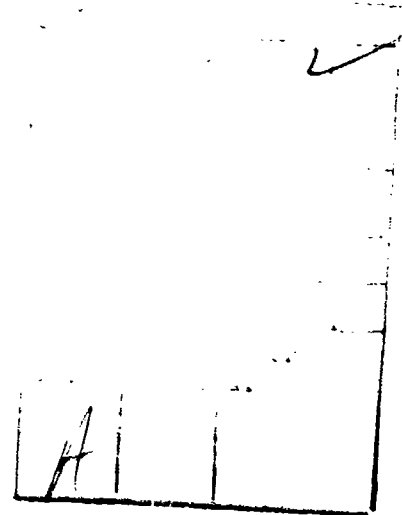
the lieutenant are derived from the model and presented in Section IV. Behaviorally formatted exercises are given for each leadership skill.

Technical Acknowledgments

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Preface

The present text and exercises represent the culmination of an intensive two-year effort involving a number of individuals. Much of the work involved efforts which went beyond the confines of a normal workday. Mr. Earl C. Pence and Mr. Joseph A. Orban, graduate research assistants, provided a considerable amount of independent and creative thought that formed the basis for a great deal of the text and exercises. These men were conscientious, responsible, and met their mission objectives in a thorough and professional manner. Dr. E. von Haller Gilmer contributed constructive criticism and helped write the section on "Orientation to Leadership". Dr. Philip Worchel was involved in the initial planning of the manuscript. Ms. Deborah Kipps was the typist and proof-reader.

Two other individuals who were instrumental to the success of the endeavor were Major William C. Pendleton and Mr. Anthony E. Castelnovo. Major Pendleton was a graduate student during the first year of the contract and provided the military wisdom which was so necessary during that time period. Mr. Castelnovo was the contract monitor from the Army Research Institute for the Behavioral and Social Sciences. His advice, encouragement, and experience were greatly appreciated.

Finally, as the principal investigator, I take sole

responsibility for any errors in content or form. Working with the above individuals was a pleasurable and professionally rewarding experience and I am grateful for their outstanding effort.

Joseph A. Sgro

August 31, 1979

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Introduction

By nature of the profession, Army leaders must be task or mission oriented while at the same time preserving the dignity of the soldier. This requirement-- to balance the needs and goals of the organization with the needs and goals of its individual members-- presents a challenge for Army officers to continually develop their leadership skills. The Army is unique in many respects when compared to the civilian sector of society. The concept of command implies inherent authority over subordinates and, for the most part, no comparable leader-subordinate relationship exists in the civilian sector. A rigid code of ethics guides military officers in the performance of their duties. The battles of Meuse Forest, Guadalcanal, Iwo Jima, Pusan, Heartbreak Ridge, Pork Chop Hill, and the Tet offensive exemplify the types of situations which require the U.S. Army to have leaders who are strong and capable.

The military has traditionally provided the fundamental leadership training for successful business leaders. In fact, many of the techniques of leadership learned during military service have application to government and industry as well. In many cases, these techniques have been modified and form the basis for some of the more influential theories of leadership that are currently available.

Although the art of leadership has been practiced for centuries, the systematic and formal study of these processes is relatively new. Since World War I knowledge of the leadership process has grown considerably and numerous theories that deal with the selection and training of leaders have been developed. In addition, specific functions of leadership, such as the decision-making process, have also been delineated. A solid foundation in the fundamentals of leadership theory and their applications will prove to be invaluable in the subsequent military leadership training which you will receive and, most importantly, such knowledge will enable you to develop into a more proficient officer.

No single book can teach an individual how to become an effective leader and this book is no exception to the rule. After extensive interviews with many officers in the U.S. Army, the authors are in agreement that much of the military leadership process is learned through experience. However, before a new officer may benefit from these experiences, he or she will need some type of organized perspective from which to evaluate his or her role as a platoon leader. The purpose of this book is to provide future military leaders with a working model of leadership which will allow them to gain a better understanding and a greater sensitivity to the leadership problems which they will encounter upon their initial exposure to the military setting.

The book itself is divided into four sections. The first section serves as an introduction to the general problem of leadership for an Army officer. The second section represents a review of leadership theory and research which has been derived, for the most part, from the fields of psychology, business, and military science. This section serves to provide the student with a general view of the systematic study of leadership. The third section presents the development of a general model of the leadership process in formal organizations. This model is not intended to be a research tool with specific behavioral predictions. Rather, its primary function is to integrate the existing theories and research into a meaningful perspective with which to more effectively understand the leadership process.

The final section of the text is an example of the application of the general model to the leadership problems faced by newly commissioned lieutenants in the U. S. Army. This section will provide concrete examples of how knowledge of the developmental model of leadership may benefit the new lieutenant. The exercises in the fourth section are designed to provide experiential insight into the basic leadership skills which have been identified to be critical to the success of a newly commissioned officer in the U. S. Army.

SECTION I: ORIENTATION TO LEADERSHIP

The Individual and the Situation

We shall begin this instructional program on leadership by introducing several basic units of text material which cover issues and problems relevant to the study of leadership by ROTC cadets.

In this section we shall talk about the problem areas of platoon leadership in the modern Army as revealed by two years of study at several military installations. We shall present current professional thinking in the areas of individual personality differences, discuss reactions to stress, and talk about the several practical aspects of communication at both the one-on-one and the small group levels. We shall come to understand how counseling and human relations become a part of the total picture of leadership, and we shall discuss various roles of the platoon leader. These topics may first appear to be unrelated but, as you progress through the course, you will see that all of these issues are important for effective leadership. At this point in time we do not wish for you to attempt integrating these topics. Instead, you should read

each topic and reflect upon your own opinions or thoughts about the subject. It may even be useful to keep a list of questions which arise as you read this section of the text.

The Situation: The Military Organization

Going from the college campus to the military setting can be exciting, confusing, and yet one of the best educational experiences a young person may have in relating him or herself to a developing career. We shall first present material which will allow you to better understand just where each of you fits into the military organization. Often, in attempting to understand your position in an organization it is beneficial to examine the historical development of the organization and the position in that organization which you shall assume. Thus, the starting point for our course in leadership will be a brief look backwards into history.

From the time of the Roman Empire, officer ranks related to class systems. Commanders of companies and regiments were people with money and influence because the commander had to raise and to equip his unit with his own funds. When the United States Army was established by the Constitution, some "class" ideas were retained in terms of the appointment of officers ("commission") by the President. Over time, possession of property and money has become irrelevant as a qualification for becoming an officer.

Education and training are now major qualifications.

Ranks of today have evolved from past history. The forebearer of the commissioned officer began with the American Army in 1775. The warrant officer position was established in 1918. This officer was raised from the ranks by virtue of his technical competence in a particular field. The Secretary of the Army appoints the warrant officer. While technically not in the same category as commissioned officers, Congress includes the warrant officer in the total officer corps since that "warrant" parallels the responsibilities and authority in many areas. The warrant officer holds rank above the non-commissioned officer.

NCO ranks date back to the Roman legions. The NCOs initially functioned as drill instructors and as tactical and administrative assistants. NCOs are chosen and promoted on the basis of demonstrated competence and continued performance. In effect, these people serve as agents of the officer corps. They derive their legal authority from this source.

The professional officer corps normally includes a number of "reservists". They are a supplement to the "regular" officer corps and qualify for rank by selection, education, and training. While on duty they normally possess all the prerogatives and responsibilities of a regular officer in the same rank.

Given this very brief overview of the formal officer

rank structure of the military setting, let us turn now to
the ROTC cadet.

The Individual: The ROTC Cadet

Beyond one's career speciality in engineering, management, arts and sciences, and other areas, all ROTC students share one common thing-- a possible future career in the military setting. Let us think of the present course as one of the beginnings for individual career development. Perhaps few, if any, situations exemplify the beginning stages of professional leadership more than the assignment of a new officer to the leadership position of an Army platoon.

The military setting is an agent of change for individuals entering the organization. One of the first things the new officer learns is that soldiers, like most people, have some hidden resentment to being controlled. In the role of platoon leader, the lieutenant must often attempt to change the behavior of other platoon members. As you well know, people resist change for different reasons and react to change in different ways. Often the resistance to change is a reaction against the disruption and uncertainty which accompanies change. The enlisted volunteer and the newly commissioned lieutenant both are entering an unfamiliar environment filled with formal rules and regulations which may conflict with informal methods of accomplishing goals. This environment forces changes in newly entering members, whether they are enlisted persons or officers. The demands for change lead to feelings of

uncertainty in the new officer and enlisted person alike. It is no wonder that the platoon sergeant or warrant officer is viewed with awe by the newly commissioned lieutenant. These men have learned how to operate in the military situation. They are, as we say, "organizationally mature". Psychologically, the newly commissioned officer faces a difficult task in leading personnel who know much more about the Army than they do. Platoon leadership is truly a testing ground.

It is not unusual to find that the new lieutenant may not be technically competent in many of the tasks performed by the platoon because he or she has had no opportunity to learn the necessary skills. The lieutenant will also lack knowledge of many of the informal structures and procedures of the platoon. The military organization may make "good sense" once one has experienced it, but it is difficult to see "how" and "why" when one is making the initial changes from the permissiveness of college life to the regimented structure of the military. The ultimate goal of this course is to enable you to adapt to these changes and become an effective leader in the U.S. Army.

Specifically, this course is designed to meet the following objectives:

- 1) To stimulate your thinking about issues and problems related to being a leader in today's Army.

- 2) To provide you with an up-to-date review of the contemporary approaches and theories of leadership in the academic, industrial, governmental, and military science disciplines.
- 3) To provide an overall model of leadership applicable to the military setting, with particular attention given to the platoon leadership position of the second lieutenant.
- 4) To sensitize you to the types of leadership problem faced by the newly commissioned lieutenant.
- 5) To describe the skills required for effective platoon leadership; and to allow you to practice these skills in the classroom setting.
- 6) To orient you in personal and organizational development of leadership knowledge and applications.
- 7) To help reduce the amount of time and the number of mistakes which precede effective platoon leadership.

Problem Areas of Platoon Leadership

The first topic we would like to introduce is the problems a platoon leader may face when commanding a platoon. Many of you will find yourselves in this position in just a few months. Do you really know what you are up against? Two years of interviews with hundreds of persons from all ranks in the Army have revealed a wide variety of factors which may make a lieutenant's job difficult. Many of these situations have been incorporated into exercises which you will complete in a later section of the text.

At this point in time, we would simply like to present you with a sampling of problems reported in the two years of interviews. As you read each problem, think about what you might do to solve it. Even more importantly, ask yourself if there is anything you could do to change the situation.

A common problem reported by many lieutenants was very low morale among their soldiers. In some cases, these soldiers were over-worked, putting in long hours of overtime in the evenings and on weekends. Soldiers were not given the opportunity to leave their units to receive the training they needed for promotion. The good soldiers simply could not be spared from the unit. As a consequence, soldiers often perceived themselves as having no chance to be promoted and became frustrated and discouraged. In contrast

to this situation, other units in which morale was low were characterized by a lack of work to be done. Soldiers were given "busy work" to occupy their time or simply stood around for hours with nothing to do. These individuals saw their jobs as being meaningless and were bored. And what about the morale of soldiers stationed at bases surrounded by affluent civilians? These soldiers see the many benefits enjoyed by the wealthy civilians living around them and yet the cost of living in these areas is so high that the soldiers and their families can only live at a subsistence level. What can a lieutenant do in this situation?

What do you do when you discover a number of your soldiers involved in the taking or selling of drugs? Is this only a symptom of one of the more basic problems discussed above? Certainly this type of problem or symptom will affect platoon performance. As the platoon leader, it is your responsibility to do something to correct these problems. But what will you do?

You are coming from a college environment; your soldiers are not. Many of the individuals you will lead have a cultural background quite different from your own. Things that motivate you to perform well may have no effect on improving their performance. Even though you have the rank of an officer, the soldiers may have little or no respect for you as their leader. The resistance to the orders you issue will often reflect their lack of respect.

How do you earn this respect? Do you need this respect or can you rely upon your rank?

The list of questions could be endless and the list of problems equally long. However, this should serve to stimulate your thinking about the problems you may encounter as an officer in today's Army. Remember these are not abstract or theoretical situations. These are actual problems which lieutenants face in today's Army. They are real problems that deserve solutions. It is your responsibility as an agent of change in today's Army to find the most effective paths toward these solutions.

Personality and Individual Differences

When we encounter problems such as alcohol and drug abuse, AWOL soldiers, and cultural differences between leaders and subordinates, we begin to ask questions related not only to ability and education, but to personality differences as well. Some people who have feelings of anxiety and anger direct their unhappiness inwardly toward themselves. Others turn their anger outward, often toward their immediate superior. We can derive some understanding of the behavior of others by asking ourselves certain questions. How do you react to annoyances produced by a friend in contrast to those produced by someone toward whom you feel somewhat hostile? How do you react to your own self-induced frustrations versus those that might occur as a result of Army rules and regulations? How do you motivate others? How do you hold up under stress? Just as each of you will have somewhat different answers to these questions, so will the soldiers you lead display equally important differences in their answers. (Sells, 1973).

Extensive field studies have been made on the behavior of both military and civilian personnel in isolated settings, such as the Arctic, in order to gain insight into the relationship between personality differences and behavior. From these, and similar studies, come some general findings. Personnel who were rated as well-adjusted

tended to be conscientious, responsible and willing to accept authority. Those who were rated as poorly adjusted went to sick call more often, had greater interpersonal problems, and were only marginally concerned about their work. Personality attributes rated desirable included agreeableness, leadership, self-reliance, group cooperation, and openness. Undesirably rated qualities were rigid defensiveness and dependence on others for task direction.

Personality differences not only influence the manner in which people behave but also the way people perceive the environment. For instance, in one interdisciplinary analysis of industrial, governmental, and military organizations (Presthus, 1962) it was found that "upward mobile" people perceive their organization as one with a very positive climate. They are highly satisfied with their jobs and task assignments and identify strongly with the organization. These are the people that are found at, or near, the top of the organization (the professional officer or industrial manager, for example).

In contrast to the aggressive upward mobile people are the "indifferents" who perceive their organization as a source of frustration. Many of these people are not only difficult to motivate but difficult to discipline.

Finally, every organization of size has a small, perpetually disturbed minority composed of those who can neither renounce their claims to status and power nor play

the disciplined role to obtain such attributes.

How a person perceives the climate of a particular organization and where the person thinks he or she fits in, are important in understanding the behavior of people in the organization.

If you can appreciate the differences in the personalities of the soldiers you will lead, then you can begin to understand the differences in their behavior. You should also realize that these soldiers will perceive your behavior differently and, in turn, react to you differently. This means that you can not treat all of the soldiers in an identical fashion. What you do to motivate one soldier may not be effective with another soldier. The problem of motivating subordinates is a critical topic in any study of leadership.

Motivation

The area of motivation deals with "why" questions. Why do some soldiers like close order drill more than others? Why are some people "power hungry" oriented and others oriented towards making friends?

Motivational questions deal with the causes of behavior. The core of the answer to motivational questions seems to be that people do things: (1) in an attempt to satisfy some need, (2) to make themselves feel better, or (3) sometimes simply because they are told to do something.

People tend to behave in ways that maximize rewards and minimize punishments. Some people who come from a background where self initiative is stressed tend to focus their expectations on success. Others, who come from backgrounds which lack opportunities and self-enrichment focus on failure. The fact that motivational differences exist between people makes it difficult to simultaneously motivate a large group such as a platoon of soldiers.

Stress

While all leaders must cope with problems of subordinate morale, different personalities, and subordinate motivation, the military officer is unique in several respects. One unique characteristic of military officers is that they are expected to lead their subordinates under severe conditions of stress such as exist in combat.

Studies of stress have been conducted with military personnel in training, under severe physical environmental conditions, and under combat situations. Two generalizations have come from these investigations. First, even the bravest men get scared. Second, preparation for danger is essential for both physical and mental survival.

Research (Janis, 1958) shows that soldiers who are informed of a dangerous mission before it takes place will commit themselves to higher risks. If they know of an impending action, such as D-day, several days before it occurs, then there will be fear but no emotional shock. In a way, when risks can be calculated, the psychological preparation that follows serves to lessen the ensuing fear.

Both in training situations and in combat, as the threat of danger grows nearer in time, fear increases. Among parachute jumpers, data (Epstein, 1962) show that up to the moment of the ready signal for jumping, the desire to jump declines and the reluctance to jump increases.

Following the jump signal, the pattern is reversed. The peak of threat occurs not at the moment of jumping, but at the point of final commitment to jump.

These findings concerning stress and approaching danger may have several implications for the newly commissioned officer. Upon entering the first platoon leadership assignment, the second lieutenant lacks information needed to accurately assess the "risks" he or she will face as a platoon leader. This means that the situation is likely to be highly stressful. Furthermore, the "greatest danger" in being a leader is committing one's self and followers to a plan of action. Thus, stress is likely to increase as the time draws near for the lieutenant to make critical decisions and not when the lieutenant takes action after committing his or her platoon to a particular objective. In a later section of the text we shall discuss problems which may arise when a lieutenant's leadership behavior represents a personal reaction to stress.

Communication

In the preceding section it was noted that providing information to an individual enables him or her to better prepare for a dangerous mission. This is only one of many types of communication which are important to an effective leader.

Communication takes many forms. The most common forms of communication include reading and writing as well as talking and listening. In addition to these verbal forms of communication, large amounts of information may be transmitted through other channels. Information concerning the feelings of persons who are interacting may be communicated through facial expressions, a speaker's tone of voice, the body orientation of the speaker and listener, or even long periods of silence.

Leadership training programs often concentrate on teaching leaders to speak and listen effectively. However, it is important to remember that communication means more than just information processing; it involves people, with all their feelings, habits, and expectations.

Counseling

The communication process involves not only transmitting information but also listening. For the platoon leader, a significant portion of this listening will take place during counseling sessions with subordinates.

Counseling is listening, helping with individual problem solving, sometimes making judgments, and giving advice. Counseling in the military setting may be formal or informal. Effective counseling on a personal problem can often help relieve stress both harmful to the unit as well as to the individual. In performance evaluation and counseling, the leader can help correct mistakes, reinforce good performance, and in an indirect way, obtain information about the informal structure of the platoon.

Let us assume that a subordinate comes to you with a problem. The individual is obviously upset. It is recommended that the counselor take the person through a sequence of three stages.

First, the leader should act as a sounding board for the individual's frustrations. This means that the leader, as counselor must get the person to talk about what is bothering him or her, and to reveal his or her real feelings.

Second, the leader must try to help the person locate the cause of the trouble, to state what he or she thinks is

the problem.

Third, the leader should try to get the person involved in finding a solution to the problem.

Do you think you could perform well in each of these three stages of counseling? One of the conflicts the platoon leader has to face is in being a counselor, an evaluator, and sometimes a disciplinarian, all within a brief span of time. But whoever said being a good leader was easy? There are pitfalls to be reckoned with: biases, prejudices, and stereotypes must be overcome. Leaders must recognize their limitations as counselors. They must know when to suggest professional help. In essence, counseling is not only the art of good listening, but also the art of knowing what not to do as well as what to do.

The Roles of Leadership

The platoon leader must assume a number of leadership roles. A particular individual may perform some leadership roles well, while at the same time, failing to perform other roles adequately.

Leadership is often situation-oriented, as you shall see in the next section on leadership theory. The successful executive may not succeed in a college classroom whereas a college professor may fail on his face trying to address a group of plant managers. The person who is effective as a platoon leader in combat may be less effective as a platoon leader in garrison.

It is necessary to consider what roles are involved in leadership, what methods are called for, and what the particular situation is. In a civilian setting, if an organization is running well, authoritarian leadership may be quite effective. Essentially, if there are virtually no problems, people are willing to let the leader make the decisions. Likewise, in times of crisis, decisions must be forthcoming, and people expect leaders to exert an autocratic role. However, in times of change, when the organization is growing, people frequently want to be involved in the decision making process.

From both civilian and military experiences have come several useful statements about the roles of a leader:

- 1) The leader sometimes finds himself in the dilemma of having to succeed as a leader despite the fact that he or she cannot control the conditions of leadership.
- 2) The major role in leadership is not one of providing inspiration, or producing obedience by position, but one of creating a situation in which the followers willingly accept the leader.
- 3) Achieving changes in the behavior of subordinates often involves achieving a change in their perception of the immediate situation.
- 4) Authority which is maintained by threats of punishment is undesirable. It achieves only acquiescence, not real acceptance.
- 5) In civilian settings, and sometimes in military situations, subordinates are more likely to accept group or organizational goals when they personally feel related to the goals.
- 6) Groups can make a leader ineffective or effective by the attitudes they display.
- 7) Time is a variable in evaluating leader success. Changes often require an appreciable period of time before positive results are noted.

The many different role demands which may be experienced by the newly commissioned lieutenant are discussed in more depth in Section IV of the text. We will now present the description of a typical day in the life of

Lt. Edward Jones. This description is presented to provide you with a representative sample of the job demands which may be faced by any platoon leader. While the specific situation and technical expertise required may vary from one MOS to another, the basic leadership skills which are required of a platoon leader will remain the same. Lt. Jones will become a familiar character to you as you read this text. Jones and other members of platoon A and Company XYZ will be referred to repeatedly throughout the course.

A Typical Day for Lt. Jones

Lt. Jones entered his office at 6:30 A.M.. He had come to the office early so he could complete some paperwork which had been sitting on his desk for almost a week. He needed to complete evaluation forms for two squad leaders and complete some work on revision of the company procedures regarding the handling and storage of flammable liquids at the motor pool. Lt. Jones is the company safety officer and hopes to correct the conditions leading to two recent fires in the motor pool. In addition to preparing a memo outlining the new procedures, he is also composing a written proposal for a safety campaign. The written proposal must be sent to the company commander, Capt. Wallis, for approval.

At 7:15, Sgt. Rock, the platoon sergeant, entered Lt. Jones' office to talk with the lieutenant in a private session. Sgt. Rock expressed concern about several recent incidents between one of Lt. Jones' squad leaders and a soldier in the platoon. Sgt. Rock indicated that the squad leader may be at least partially at fault for the problems and suggested that Lt. Jones talk to the squad leader that day. Lt. Jones made a note to himself to see the squad leader that afternoon.

At 8:00, Lt. Jones reported for a two hour briefing with Capt. Wallis. The briefing was on a two week field training exercise that was to begin two days later. During

the meeting, the Captain reminded Lt. Jones that during the last training exercise (before Lt. Jones became platoon leader) platoon A had performed rather poorly. Capt. Wallis felt that this performance was due to the poor training of the soldiers in two of the squads and he told Jones that he hoped that this problem had been solved.

At 10:00, Lt. Jones met with Sgt. Rock and told him that he wanted the platoon on the firearms practice range that afternoon. Lt. Jones wanted to make his own evaluation of the squads before the field exercise and provide any last minute training he felt was necessary. Sgt. Rock already had plans for the platoon, so Jones had to spend some time convincing him that the men needed the training.

At 10:30, Lt. Jones received a call from the battalion commander congratulating him on platoon A's superior ratings during a recent inspection.

At 11:00, Jones started to leave for an early lunch. Just as he headed out of his office, private Willie Jackson, an E-2 in Jones' platoon, came in the door and requested permission to talk with Jones about a personal problem. Jackson told Jones that his wife, who is seven months pregnant, was threatening to leave him because of their poor financial situation and the long hours the soldier had been working in preparation for the upcoming field exercise. The soldier's wife had also begun drinking heavily and the young man was afraid to leave his wife alone. Therefore, he was

requesting that he be excused from the field training exercise. Private Jackson told Lt. Jones that he was sure something "terrible" would happen if he left his wife for two weeks at this point in time. Lt. Jones told Jackson that he would give him an answer the next day. Jones made a mental note to talk with Sgt. Rock about the problem and the possibility of not taking private Jackson on the field exercise.

Lt. Jones finally left for lunch with two other lieutenants from the company at about noon. During lunch the three lieutenants discussed the upcoming field exercise and the World Series. Returning to his office at about 12:45, Jones made several phone calls to check that everything was prepared for transporting his troops to the field for the training exercise.

Lt. Jones left to go to the firearms practice range at 1:15. Once on the range, Lt. Jones took command of his platoon and supervised the practice session for about an hour. During this hour, he observed that several soldiers were performing rather poorly and attempted to correct their problems. At first, Lt. Jones attempted to help each soldier individually. However, he quickly recognized that there were about six soldiers who needed individual attention and he had best allow his squad leaders and platoon sergeant to provide the needed assistance. Once Lt. Jones was satisfied that the soldiers requiring additional

training were identified and being helped, he returned command of the platoon to Sgt. Rock.

Before leaving, he talked with Sgt. Rock about the problem with Private Jackson. Sgt. Rock said he would like to tell Jackson to stay behind but he felt that Jackson may be essential to successful platoon operations. Lt. Jones was worried that Jackson, normally a model soldier, would be too troubled to perform well. Sgt. Rock ended the conversation by telling Jones that it was up to him as the platoon leader to make the decision, but that he would back Jones' decision in either case.

As Jones was returning to his office, he realized that he had not spoken to the squad leader he and Sgt. Rock had discussed that morning. Upon entering his office, Jones made a written note on his calender to speak to the squad leader early the next day.

By the time Jones was ready to begin working in the office, it was 4:00. He obtained a large desk calender and began planning dates for further training and evaluation in a number of different skill areas for the soldiers in his platoon. He worked furiously on the plan so that he could complete it before leaving the office that evening. Scheduling training time was rarely an easy task since his platoon was usually very busy in accomplishing just the missions assigned to them by the company and battalion commanders, not to mention the time required to prepare for

scheduled and "unscheduled" inspections of the motor pool and other areas.

At 5:15, Lt. Jones left his office and headed towards the Officers' Club. At 6:00, he was scheduled to play a match in the battalion tennis competition and at 8:30, he had a dinner engagement. As he left the office, Lt. Jones took along the NCO evaluation forms and the safety program proposal. Hopefully, he would find time to work on the projects at home later that evening.

Leadership: A Starting Point

You have just completed a general preview of the types of issues and topics which have confronted people who have studied leadership. As you attempt to formulate your own ideas about leadership and try to integrate the above topics, fortunately you do not have to "start from scratch". Many researchers have attempted to deal with the same issues and problems we have presented in this introductory section. There exist over 3,000 books and articles which discuss some aspect dealing with leadership. These efforts have led to the development of a number of contemporary theories of leadership. The theories and subsequent research provide a wealth of information from which to obtain additional insight into your role as a leader. These insights will be invaluable in aiding your future thinking and development as a leader in the defense of your country.

SECTION II: LEADERSHIP THEORY

A Historical Overview of Leadership Theory

The initial approaches to the study of leadership were directed at answering the question of what makes an effective leader. Bavelas (1960), Stogdill (1974), and Fiedler (1963) note that early studies of leadership were concerned with the identification of the personal attributes possessed by effective leaders. These attributes included age, education, intelligence, creativity, and integrity. Underlying this early approach to studying leadership was the assumption that regardless of the setting, persons who are effective leaders in one situation are also effective leaders in all other situations. This approach to the study of leadership is basically a "common sense" or intuitive approach to the subject. For example, if you are asked to answer the question, "What are your major strengths as a leader" the chances are that your first thoughts center around your intelligence, personality, or physical appearance. These are all personal attributes which are relatively stable across various situations. These personal attributes of the leader are important for effective

leadership, but research soon began to demonstrate that the situation was also a critical factor that had to be considered.

If you think of your own experiences as a leader, you will probably recall that you have used the same style of leadership in two different situations only to find that it was effective in one situation and led to failure in the other. Likewise, you probably can remember reading the sports section in the newspaper and realizing that a manager who was fired from one losing baseball team was hired by another losing team and subsequently led the second team to a winning season. Neither the research evidence implicating the importance of situational variables to leadership nor the logical arguments supporting such a position resulted in an immediate shift in the study of leadership.

In the decade prior to World War II there was a continued interest in studying the personality traits of leaders. About this same time, however, industrial psychologists began studying general organizational group dynamics of how people work together. Gradually, psychologists came to talk about leadership as a job, as a function, not a set of characteristics; but rather a process of communication. Researchers began asking "how are leadership functions distributed in the organization"

Despite evidence that one must include situational variables in studying leadership, the 1950's and 1960's saw

a continuing interest in the study of the leader as an individual. Humanistic theories of personality were given attention. These theories suggested that man is inherently good and if left to his own devices would continue to grow both intellectually and socially.

Maslow (1954) introduced the idea of a hierarchy of needs which relate to the motivation of a person. Arranged from basic to higher order needs, these needs are: physiological needs, safety needs, social needs, self esteem and status needs, and finally self-fulfilling needs or the need for self-actualization. Maslow contends that the lowest order need which is unfulfilled will operate to motivate a person. For instance, if hungry, food will be a prime motivator. When a lower order need becomes satisfied, then the next higher order need emerges and acts as a motivator. For instance, once the physiological needs are satisfied, then the needs concerning an individual's safety become active; e.g., job security. Several theories of management and leadership are based on Maslow's hierarchy of needs. Argyris (1957) based his theory of leadership on Maslow's hierarchy of needs and suggested that a successful leader is one who fosters the growth and development of the followers by enhancing the work environment and meets the needs of the followers by employee-centered leadership.

The second type of leadership theories which originated in the 1950's were empirical theories based upon large scale

research programs. These theories are called "empirical" because they are based on real-life data and scientific investigation rather than being based on philosophical theorizing. For example, Stogdill and Coons (1957) focused their research upon the "role" of a leader. These researchers identified initiating structure as a leadership dimension related to successful leadership. The dimension of initiating structure essentially represents leader behavior which is directed at making clear what tasks subordinates are to perform and how they should accomplish these tasks. For example, you may remember the numerous ways in which a group leader has provided you with guidance, or structure, which was essential to your accomplishing a particular task. In later research, Bass (1960) found that in addition to initiating structure, the dimension of leader consideration was also important in successful leadership. As you may have guessed, this dimension of leadership includes behavior in which the leader expresses concern for the personal welfare of subordinates and shows respect for them as individuals. Perhaps you can think of times when your leader gained your cooperation and effort because he or she considered your feelings rather than telling you what you "had to do".

Today we think about leadership in terms of some dozen or more leadership theories, many of which are based on the results of numerous empirical studies. We will now turn to

a review of twelve of the most recent theories of leadership developed by researchers in the fields of psychology, business and military science.

Contemporary Theories

These contemporary theories are grouped into three general categories. The first category focuses primarily upon the leader as an individual, examining the dimensions of the behavior of the leader. Included in this category are two theories dealing with the leader's use of power and one theory concerned with the philosophical views of man.

The second category of theories are those which concentrate upon the situational variables which determine whether a particular style of leadership will be effective or not. This second category includes Fiedler's (1964) Contingency theory and House's (1971) Path-Goal theory of leadership effectiveness. While both of these theories do discuss leader behavior and leadership styles, the main thrusts of these theories are aimed at investigating situational variables which influence leadership effectiveness.

Third, we present theories concerned with leadership as an organizational process. These theories concentrate on leadership processes, decision-making, subordinate work roles, and delegation of authority.

McGregor's Theory-X and Theory-Y

Douglas McGregor (1957, 1960) had a great impact on the area of leadership research and practice. His 1960 book The Human Side of Enterprise is now a classic. McGregor noted that the traditional conception of management was based upon assumptions which characterized man as a passive worker. Referred to quite widely as Theory-X, this approach to management rests upon the assumption that man is, by nature, passive and resistant to organizational needs, and that active and close supervision by management is necessary if organizational goals are to be achieved. Hence, man as a worker is viewed as being lazy, self-centered, gullible, indolent, not very intelligent, and generally ineffective on the job.

McGregor suggested that such worker behavior is not the consequence of man's inherent nature, but rather, is the result of the organizational environment that impinges on man in the industrial setting. This organizational environment includes management philosophy, policy, and practice. Drawing upon Maslow's work on human motivation, McGregor presents the argument that traditional practices of management (i.e., Theory-X) serve to thwart the fulfillment of human needs. Resistant and passive behavior may be the worker's response to the failure of the organization to allow fulfillment of his or her needs. It is McGregor's

contention that human needs must be satisfied at all levels if man is to be an effective worker. Management must understand the level of need which a worker possesses and must channel their efforts at satisfying these particular needs. Some workers may be operating at the level of physiological and safety needs, while other workers may have higher order needs such as self-fulfillment.

McGregor proposes a new set of premises in place of Theory-X. His conception of man is referred to as Theory-Y and is based on assumptions that are most closely aligned to human motivation theory. Basically, Theory-Y assumes that man is not by nature passive and resistant. If man does display these particular characteristics, it is assumed to be the result of working in an environment which has restrictive organizational policies and procedures. Management's responsibility is to provide an organizational environment in which a worker can best direct his work efforts toward the objectives of the organization. In such an environment, management should be aware of the need level which the worker possesses, and attempt to satisfy these needs. In essence, management must create a situation in which the satisfaction of human needs occurs as a part of the attempt at achieving organizational goals.

The current practices of "management by objectives," "job enlargement," and "participative and consultative management" are examples of management practices which are

consistent with McGregor's Theory-Y. With these management practices, workers are given the freedom to satisfy their social and egoistic needs by assuming responsibility that is directed towards the completion of organizational objectives.

While one may disagree with McGregor's views, his thinking does raise some important implications for effective platoon leadership. Theory-X and Theory-Y assumptions are different and if used by a military leader, may have different practical consequences. A Theory-X leader will be authoritative, directive, and will manipulate organizational rewards and punishments. Such a leader would essentially assume that subordinates are lazy, passive and resistant. If a leader assumes that all subordinates possess these characteristics, it is likely that a self-fulfilling prophecy might occur. That is, subordinates will behave in a Theory-X manner as a consequence of the manner in which the leader interacts with them. Conversely, a Theory-Y leader would be more considerate of the needs and goals of the subordinate and would allow latitude and freedom on the job. Subordinates would be encouraged to be innovative and would be allowed to develop to their fullest potential. McGregor considers Theory-Y to be a more realistic view of man's basic nature. Treating subordinates as mature and responsible persons should result in the subordinates behaving in a mature and responsible manner.

Think about Lt. Jones, the lieutenant whose day was described in Section I. Consider Jones' treatment of Willie Jackson, the E-2 who has requested to be excused from the field training exercise. If Jones' beliefs were consistent with Theory-X, he might view the request as an attempt by a lazy soldier to avoid doing a difficult and perhaps stressful task. As a consequence, Jones would probably deny the request and warn the soldier that he would be watching him closely during the exercise to make sure that the soldier was really doing his job.

If Jones adhered to a Theory-Y philosophy, his behavior might be different. In this case, Jones would probably assume that Jackson wanted to do his part in the field training exercise but was concerned about the welfare of his wife and unborn child. If at all possible Jones would probably obtain permission for the soldier to be excused from the training exercise. If this were not possible, Jones would not threaten the soldier, but rather would assist the soldier as much as he could in obtaining counseling or other aid for the soldier's wife while the soldier was gone. This aid would then allow the soldier to focus his attention upon the field training exercise while at the same time satisfying the soldier's need to help his wife.

The usefulness of a theory is partly a function of the degree to which it receives support from research findings.

In line with McGregor's views, Sexton (1967) hypothesized that (1) the degree of individual higher order need (i.e., achievement, affiliation, autonomy, recognition, self-actualization) satisfaction would be inversely related with the degree to which a worker is restricted and confined by managerial practices and (2) that worker effectiveness would be inversely related to the degree of individual need satisfaction.

Sexton found quite the opposite in that the more restrictive and confining the job, the greater was the satisfaction of individual needs. He explained these findings on the basis that the imposition of restrictions in the work environment allowed the worker to perform in a habitual manner. This provided workers the freedom to socialize with other workers and fulfill their higher order needs. These findings imply that, under certain conditions, job structure rather than total freedom is beneficial for the fulfillment of higher order needs.

It is possible, that the principles discussed would be more appropriately examined in research focusing upon individuals in managerial positions. Indeed, in an earlier study (Gerard, 1957), it was found that while workers perform better when their jobs are structured, supervisors perform better when allowed more freedom and autonomy.

In a sample of 1,685 employees, Herzberg (1968) reports that the primary causes of job satisfaction are factors

which relate to the fulfillment of higher order needs. These factors included achievement, recognition, the work itself, responsibility, advancement, and growth. Since each of the factors involve the satisfaction of higher order needs, the study may be interpreted as supportive of McGregor's Theory-Y notion.

Some people, of course, perform best when they are "programmed," and there are others who resist highly structured situations. Many practical experiences suggest that the appropriateness of Theory-X or Theory-Y depends upon the situational characteristics of the job and the personality characteristics of the people involved.

The Managerial Grid

The Managerial Grid represents an approach developed by Blake, Mouton, and Bidwell (1962) with the intention of describing the relationships between various styles of leadership in management settings. The Grid is nothing more than a two dimensional graph with a vertical axis which represents a manager's concern for people and a horizontal axis which represents a manager's concern for production. Within the Grid, five basic styles of management are identified: "country club management", "impoverished management", "task management", "middle road management", and "team management".

Country club management represents a situation in which a manager has little or no concern for production and simply strives to achieve a work group which has good social harmony among the workers. The assumptions under which management operates is that a happy worker will be a productive worker. Blake and his associates postulate that workers in such a system will sense a certain degree of falseness when they perceive no relationships between being treated nicely and work production. Furthermore, it is their contention that if group conflict does occur, it is never dealt with and, therefore, human relations gains will never really be achieved.

At the other extreme, task management (i.e., high

production emphasis and low concern for people) is based upon the assumption that increased effectiveness will be achieved when the worker is viewed as simply a "cog" in the overall system. Workers are treated like machines and their work is planned, controlled, and directed by the manager with little concern for personal interactions.

Blake and his associates label the case in which there is little concern for people and low production emphasis as impoverished management. It may be difficult for the reader to believe that such management would ever exist in an organization. However, think about a manager who has, for a number of reasons, no allegiance to the organization. This may occur as a result of being repeatedly passed over for promotion, given low raises, or being placed in a leadership position which he or she dislikes. Under these conditions, the person may adjust to the situation by giving minimal leadership and ignoring the need for production as well as ignoring the need for good human relations.

The grid theory defines the middle road approach as a management style which involves average concern for both people and production. The basic assumption involved in this approach is that a manager should emphasize production but not to the extent that morale will suffer, and vice versa. In essence, this approach is a striving for a "happy medium" in addressing both the need for concern of people and production.

The style of team management involves both high concern for production and high concern for people. This approach is the most difficult to achieve but also the most effective approach in problem solving situations. The manager must integrate the inputs of each member of the work group so that planning, directing, and controlling of the production effort represents shared responsibility on the part of each member. The cohesiveness and morale of the group is task-related and it is the duty of the manager to utilize the individual talents and motives of each team member toward the achievement of the task-related goal. This approach requires that the leader has a high degree of human relations skills in order to achieve the necessary integration of individual needs and production demands. The leader must accomplish a number of tasks in order to reach this goal, including:

1. Allowing workers a voice in setting goals and planning,
2. Achieving effective integration and coordination among people in multi-unit production teams,
3. Linking teams into an effective communications and problem solving system.

Consistent with the above demands made upon the leader, the authors suggest that leadership training should include training in human relations skills based upon data collected in behavioral sciences research. A management training

program based upon Managerial Grid theory has been developed and instituted despite a lack of research on the theory. Bernardin & Alvares (1976) note this lack of research and report data from a study which tests two predictions derived from Managerial Grid theory. Using a sample of 129 employees of a large manufacturing company, these authors tested the hypothesis that managers who differed in classifying themselves according to Managerial Grid leadership styles should have different perceptions of work-conflict situations. Furthermore, they tested the prediction that differences in effectiveness should exist for the managers having different leadership styles. The results of the study did not provide support for Managerial Grid theory. However, Blake and Mouton (1976) have responded to this study by pointing out that some of the measurement instruments used by Bernardin and Alvares (1976) to classify managers have been shown to be unreliable and invalid. Furthermore, Blake and Mouton suggest that Bernardin and Alvares's sample of managers was unrepresentative and possibly biased. While this may reduce the seriousness of the disconfirming evidence found in the Bernardin & Alvares (1976) study, Blake and Mouton (1976) do not report any data which provide new evidence in support of predictions made by the Managerial-Grid approach.

The Managerial Grid approach suggests that the leader should determine where his or her typical leadership style

falls on the Managerial Grid. You should strive to optimize your concern for production and people. Finally, you should be able to change your position on the Managerial Grid as dictated by the situation you find yourself in.

How could Lt. Jones or any other platoon leader make use of this theory in running his or her platoon? In order to display team management Jones would need to be familiar with his troops so that he could recognize their potential input toward the platoon's effort on any particular task. While the structure of the Army would often prevent Lt. Jones from involving other platoon members in setting platoon goals, Jones could often include his platoon sergeant and squad leaders in making plans on how to accomplish these goals. For example, in planning the details of how to increase his platoon's performance, Managerial Grid theory would suggest that Jones include his NCOs in the planning. Furthermore, Jones should concentrate on integrating the work of the squad leaders and other platoon members. The theory would suggest that Jones might encourage those platoon members with superior skills to work with and improve the performance of less skilled soldiers. This would probably increase the commitment of the platoon members to the platoon goals and increase the cohesiveness of the group. Managerial Grid theory also stresses the importance of displaying high consideration for subordinates. Thus, the theory would indicate that Jones

should make every effort possible to help soldiers such as Willie Jackson who were experiencing personal problems.

As you were reading this section on the Managerial Grid approach, perhaps you felt that more than two dimensions of leadership are needed to adequately describe a leader's behavior. Many leadership theorists would agree with your conclusion. The approach which follows expands the number of leadership dimensions to be considered from two to four.

Four Factor Theory of Leadership

Bowers and Seashore (1966) present a review of the different ways in which leadership has been dimensionalized. These authors conceptualized leadership in terms of four basic dimensions, or factors. The four dimensions are support, interaction facilitation, goal emphasis, and work facilitation. They are viewed as functions of leadership and are defined as follows:

Support: behavior that enhances another individual's (subordinate) feeling of personal worth and importance.

Interaction facilitation: behavior that encourages members of the group to develop close mutually satisfying relationships (cohesiveness).

Goal emphasis: behavior that stimulates an enthusiasm for meeting the group's goal or achieving excellent performance.

Work facilitation: behavior that helps achieve goal attainment by such activities as scheduling, coordinating, planning, and by providing resources such as tools, materials, and technical knowledge.

It is proposed that these leadership functions may be

performed by not only a designated leader, but also by the members of the work group. For a group to be effective, these functions must be performed. The model predicts that the more these leadership functions are being performed in a group by either leaders or members, the greater will be the group effectiveness. In addition, the group would function more effectively if the leader also encourages subordinates to display these same behaviors.

The principle of subordinates performing leadership functions is directly related to the situation of the lieutenant in the U. S. Army. The lieutenant has a number of NCOs to assist him or her in leading the platoon. To the extent that the lieutenant can encourage the NCOs to engage in the leadership functions described by Bowers and Seashore, four factor theory would predict that the platoon would perform more effectively. Lt. Jones demonstrated this principle when he allowed Sgt. Rock and the squad leaders to engage in work facilitation by providing training to the six platoon members whose performance he had judged as inadequate.

Data from a study of forty insurance agencies provides support for the four factor theory (Bowers and Seashore, 1966). It was demonstrated that the more these leadership functions were performed by both the superior and the work group members, the greater was the group satisfaction and performance.

Schreisheim & Kerr (1977) have noted that data has not been reported using each of the four leadership dimensions separately, or for peers versus superior leadership behaviors. Instead, global leadership scores were determined by summing the scale scores of the four dimensions. In other studies, the data for superior leadership behavior and peer leadership behavior were averaged together. Thus, few studies have adequately tested Bowers & Seashore's four factor theory of leadership.

One major question which may be asked is whether the four factors are really distinct and separate from each other. Taylor (1971) investigated this question by administering a questionnaire which examined the degree to which supervisors and peers exhibited the different behaviors under each factor. Using workers from a large oil refinery, an insurance company, and a plastics producer, Taylor was able to provide statistical support for the notion that the four factors were, in fact, statistically independent and existed at both the supervisory and peer levels.

Bowers (1975) attempted to demonstrate the degree to which the four factors would be related to work group functioning and satisfaction, and whether their relationships would differ at various organizational levels and at different types of industries. Drawing a sample of 1,683 work groups from 21 organizations, Bowers found that,

in general, the greater the support, interaction facilitation, goal emphasis, and work facilitation, the greater the satisfaction and the better the group functioned, regardless of the organizational level or type of industry.

Other persons have developed theories of leadership incorporating dimensions of leader behavior which resemble some or all of the four leadership functions identified by Bowers and Seashore. The next theory to be examined discusses these dimensions of leader behavior.

Behavioral Theory

Yukl (1971) has proposed a conceptual framework for leadership based upon three leader behavior dimensions. To the familiar dimensions of Consideration and Initiating Structure, Yukl adds a third dimension of behavior called Decision-Centralization. These three dimensions of leader behavior are viewed as interacting to produce subordinate satisfaction and productivity. Yukl proposes a discrepancy model to explain the relationship between leader behavior and subordinate satisfaction and a multiple linkage model to explain the relationship between leader behavior, situational variables, and group productivity. Thus, Yukl's behavioral theory of leadership views the interaction between leader behavior, situational variables, and intermediate variables as being important determinants of subordinate productivity and satisfaction.

As used by Yukl, the term Decision-Centralization refers to the amount of participation in decision-making that the leader allows the subordinate. Thus, a leader who is high on the Decision-Centralization dimension, allows only a very low amount of subordinate input when making decisions. Yukl included this dimension in the model because it emphasizes the leader's behavior rather than the subordinate's and because it encompasses a wide variety of leader decision procedures. In general, the Decision-

Centralization dimension is independent of Initiating Structure and moderately related to Consideration.

Yukl employs a discrepancy model to explain the relationship between the three leadership dimensions and the subordinate's satisfaction with the leader. The discrepancy model states that satisfaction with the leader will be a function of the difference between the subordinate's preferences and actual experience. Thus, the greater the discrepancy between the subordinate's preferences and experience, the greater will be the subordinate's dissatisfaction with the leader. According to the behavioral theory of leadership, subordinate satisfaction with a leader will be a function of the discrepancy between the individual's preferences for Consideration, Initiating Structure, and Decision-Centralization, and the amount of each of these dimensions that the subordinate perceives in the leader.

Yukl contends that an individual's preference for each of the three dimensions of leader behavior is determined by both the personality of the subordinate and situational variables, such as the importance of a particular decision to the subordinate. Thus, satisfaction with the leader will vary from subordinate to subordinate since satisfaction depends upon individual preference levels for each of the behavioral dimensions and the relative importance of each of the dimensions to the subordinate.

As previously noted, the preference level and importance placed upon each of the leader behavior dimensions is a function of the subordinate's personality and the situational context. In general, Yukl notes that subordinates prefer a leader who is high in Consideration and that individual preferences for Initiating Structure are influenced by the degree to which the subordinate is committed to group goals and the degree of structuring judged necessary for goal attainment. However, the determination of the importance and preference level of Decision-Centralization is more complex. A major situational determinant of this dimension is the importance of the particular decision for the subordinate. Thus, for decisions with high personal consequence, the subordinate may be expected to prefer participation in the decision-making process. For decisions that have little personal consequence, the subordinate may be expected to prefer non-involvement.

While a discrepancy model is postulated to explain subordinate satisfaction with the leader, Yukl's behavioral theory makes use of a multiple-linkage model to explain the relationship between the three leader behavior dimensions and group performance. This model suggests that three variables modify the relationship between the three leader behavior dimensions and group performance. These three variables are the subordinate's motivation to perform the

task, the task-role organization, and the subordinate's skill level. Figure 2-1 illustrates the relationship between the three variables, leader behavior, and group performance.

Yukl suggests that Consideration, Initiating Structure, and subordinate motivation all interact to determine subordinate performance. Yukl contends that when a leader is high on Consideration and Initiating Structure, subordinate task motivation will also be high. At low levels of Initiating Structure, however, Yukl postulates a U-shaped function between subordinate task motivation and Consideration. Thus, a leader who is either too friendly or too punitive will be detrimental to subordinate motivation.

Yukl hypothesizes that the Decision-Centralization dimension is negatively related to subordinate task motivation. That is, task motivation increases with subordinate participation in the decision-making process. This relationship is especially true when the decisions are relevant to subordinates' tasks, when leader-subordinate relations are favorable, and when subordinates perceive their participation to be needed because of their unique and valued abilities.

An important element in Yukl's multiple-linkage model is task-role organization. Task-role organization refers to how well the skills of the subordinates are utilized in performing the group's formal tasks. The leader must

integrate workers so that their skill resources are optimized. It is Yukl's position that task-role organization accounts for any variability in group productivity that cannot be attributed to subordinate motivation, subordinate ability, or to production variables, such as variations in materials or equipment.

Finally, the multiple-linkage model of behavioral theory assumes that Initiating Structure will interact with Decision-Centralization in determining task-role organization. The major determinant of this interaction will be the extent to which the leader and subordinates possess organizational skills and technical knowledge. The decision of how much structure a group should be given and how much subordinate participation should be allowed will certainly depend upon how capable each subordinate is relative to the leader and the other group members.

The model proposed by Yukl suggests that in order to obtain the maximum performance from a group of subordinates and also maintain the subordinates' satisfaction, Lt. Jones, or any other platoon leader, must consider many different variables and the way these variables interact. For example, consider the performance of Platoon A in the field exercise discussed in the description of Lt. Jones' day. During the exercise, the platoon members may perform a number of tasks ranging from digging fox holes to attacking an enemy tank. While digging the fox holes, platoon members

would probably not expect to be closely supervised but may look to Lt. Jones for a great deal of guidance and structure when preparing to attack an enemy tank. If Lt. Jones tried to tell each soldier exactly how to dig his fox hole but did not provide any guidance as to how the soldiers should attack the enemy tank, this would be discrepant from the soldiers' expectations and lead to dissatisfaction in the platoon.

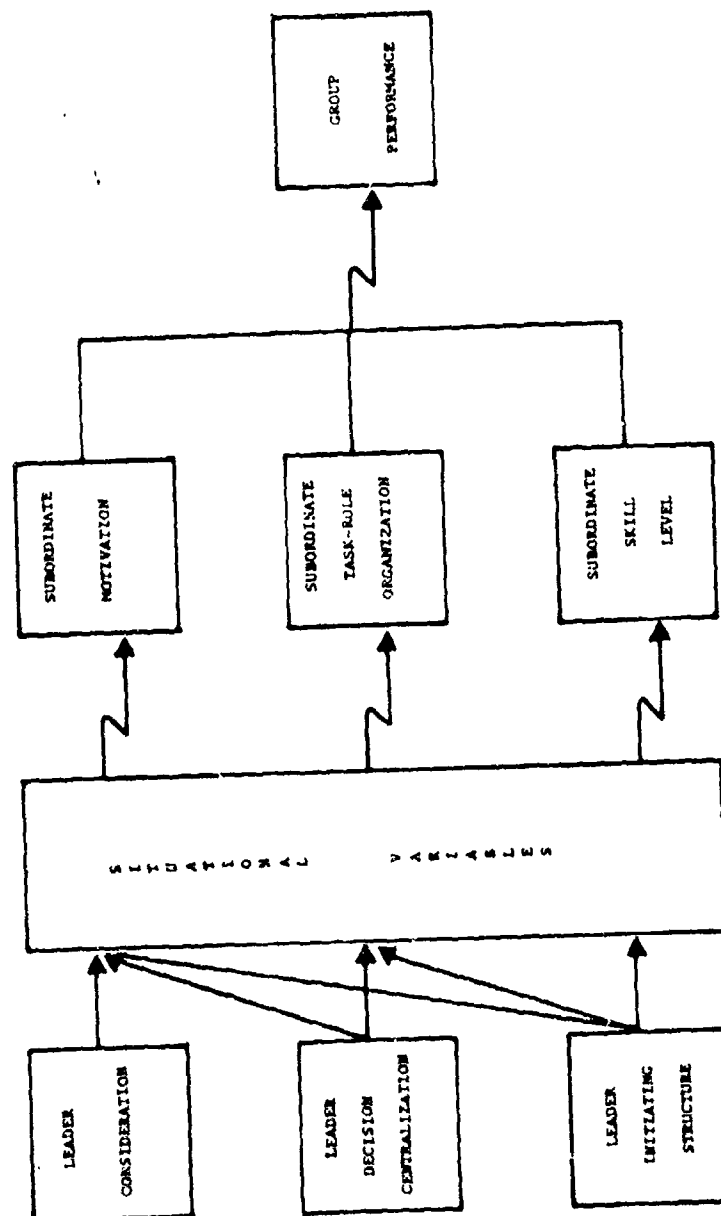
Yukl also suggests that Lt. Jones should recognize that variables such as the subordinates' motivation and the subordinates' task skills will influence his ability to lead the platoon and increase platoon performance. The description of Lt. Jones' behavior given in Section I suggests that he is aware of this fact, since he recognized that the platoon's performance might suffer because private Jackson's personal problems might interfere with his motivation to perform well during the training exercise. Further evidence of Lt. Jones' awareness of variables affecting the platoon's performance can be seen in his attempts to improve the skills of the platoon members who performed poorly during firearms practice.

Yukl (1971) cites a number of studies conducted prior to the development of the behavioral theory of leadership as being supportive of his theory. However, no study has yet been conducted as a direct empirical test of Yukl's multiple-linkage model of group performance. While Yukl's

theory recognizes that situational variables affect the leadership process, the main emphasis of the theory is on the leader's behavior.

FIGURE 2-1

Multiple Linkage Model



Bases of Power in Leadership

When we think of a leader, we usually attribute power to that individual. Have you ever really thought of what "power" means or how it is derived? For example, take a look at a college professor. What kind of power does he have? Some students may argue that a college professor does not have any power at all. Others will argue that as a determiner of the requirements necessary for students' grades, the professor possesses a great deal of power.

The fact that there are two different opinions as to whether the professor has power points out that "power" is based upon a social relationship between the professor and the student. In general, this view of the bases of power has been the focal point for scientists interested in the role of power in leadership. In the present section, we will examine one such approach. French and Raven (1959) presented five bases of social power which are available to a leader. These five types of power are defined below.

Reward power is based upon the subordinates' perceptions that the leader controls rewards which they value, and will administer these rewards as the leader has promised. The greater the frequency of fulfilling these promises, the greater the strength of the reward power. To obtain these rewards, the subordinate must accept the leader's attempts to exert influence.

The subordinate experiences the power of the leader as a set of commands that must be followed in order to achieve a desired reward. When a lieutenant in the Army is given a list of duties to perform, he or she may carry out these duties because of the expectation that obeying orders will lead to promotion. The captain who assigned the duties to the lieutenant, may perceive that the lieutenant respects the captain as a leader because the lieutenant follows the captain's orders. In actuality, the lieutenant may have little respect for the captain, rather, the lieutenant has performed the assigned duties with the intention of being rewarded. The above situation illustrates a problem which may arise in using reward power. The subordinates may allow the leader to feel that he or she has exerted lasting influence when, in fact, the subordinates are interested only in the rewards and are not truly influenced. This may lead to subordinates performing at a minimum acceptable level only to gain the rewards that the leader controls.

Coercive power is based upon the subordinate's belief that the leader can deliver punishment if the subordinate does not conform to the leader's demands. The problem with using coercive power is that the subordinates may work in a state of fear.

The fact that subordinates may be working in such a state helps clarify the difference between coercive power and reward power. While reward power promotes a positive

relationship because the subordinate anticipates receiving a reward, coercive power promotes a negative relationship because the subordinate will attempt to avoid punishment.

Coercive power might be used, for example, when a private in the Army is uncooperative during drill exercises. The private could be ordered to be cooperative by a lieutenant's command of, "If you don't 'get-with-it' private, you'll be pulling KP duty for the next two weeks." If the private actually believes that the lieutenant intends to behave accordingly, the private's behavior may change. As a result, the private would allow himself to be influenced, as an alternative to being punished.

Coercive power is a form of influence that may be effective but will not benefit the leader-subordinate relationship. A subordinate that is being coerced may become dissatisfied with his or her job, wish to quit the job, or even attempt to interfere with the completion of organizational goals.

A study which compared the effects of coercive and reward power on the cooperativeness of the subordinates with the leader was conducted by Zipf (1960). It was found that the leaders who used coercive power had less cooperative subordinates than leaders who utilized reward power. Hence, one of the consequences of using coercive power is that subordinates may become resistant to cooperation with the leader.

Legitimate power may be categorized in three different ways. First, legitimate power may exist because the delegation of power to a certain position is an important element of a particular culture. The culture of the U.S. Army is such that power is assumed to reside at certain ranks. In this manner, the Army is expressing legitimate power. A lieutenant has legitimate power to influence a subordinate's behavior simply because that power has been accepted as part of military culture.

Another situation of legitimate power is when the subordinate accepts the social structure of an organization which involves hierarchy of authority. Under these conditions, the subordinate believes that the organizational structure is reasonable, and therefore, accepts the power appropriate to officers in the organization. A military example of this form of legitimate power is when a private accepts the authority of the lieutenant because that authority is believed to be a function of the superior office held by the lieutenant.

The third basis for legitimate power is when the subordinate accepts the authority of a person because that authority has been delegated by a superior that the subordinate has previously accepted as legitimate. This may occur as a private accepts the power attributed to a new lieutenant simply because the company commander has determined that the lieutenant has that power.

Referent power is based on the degree to which the subordinate identifies with the leader. The stronger the attraction and identification that the subordinate feels toward the leader and the leader's belief system, the stronger will be the referent power. Referent power is based solely on the subordinate's positive association and relationship with the leader, and therefore, is independent of the use of rewards or punishment. The influence that a leader has with referent power may not be noticed by those under its influence. The subordinate simply likes and wants to be liked by the leader. On this basis, the subordinate complies with the orders of the leader. Note that this does not mean that the leader is taking advantage of the subordinate, rather only that the leader has this type of influence over the subordinate. To "take advantage" of this leader-member relationship would destroy a referent base of power once the subordinate realized the leader's intentions. Referent power may be the best form of influence because it does not create any inherent problems or after-effects. In this case, when the subordinate accepts the leader's authority, it is because the subordinate identifies with and likes the leader.

Zander and Curtis (1962), compared the use of the referent base of power to use of the coercive base of power. In this study, it was found that the use of referent power resulted in a greater increase in work group performance

than the use of the coercive power. This finding suggests that increases of work performance are more easily obtained when a referent base of power, rather than a coercive base of power, is employed.

An example of referent power would be when a private in the Army may have had difficulties in following orders under several different lieutenants. A new lieutenant takes command of the platoon and happens to be a leader whom the private really likes. The private agrees with the way in which the new lieutenant organizes the platoon activities, distributes authority, and makes decisions. Under the command of this lieutenant, the private enjoys obeying orders, not even being aware of the influence the new lieutenant has on him.

Expert power is based upon the subordinates' belief that the leader has special knowledge or necessary information about the task to be performed. The subordinate will probably base his judgment of the leader's expertise on the subordinate's own knowledge and on some common standard. The subordinate follows the directions given by the leader because the leader knows the correct action or solution. This base of power is very evident in the military when persons rely on their superiors to direct them through potentially dangerous situations.

Privates entering basic training may find themselves under the influence of expert power in many situations. One

such instance would be when the privates are exposed to military weapons for the first time. There will be an instructor with a complete knowledge of the weapons to instruct the privates. The privates will probably accept whatever advice is given by the instructor.

The subordinates' belief that the leader has expert power for a particular task is in part a function of how well the leader has succeeded in the past in performing that particular task. Croner and Willis (1961) showed that success at a task increases the person's ability to exert influence (expert power) on others for that task. Hence, if a leader is to rely on the expert power, then the subordinates should have prior knowledge that the leader can perform that task successfully.

Two points should be emphasized about these bases of power. First, all are a function of the subordinates' perceptions. This implies that a leader must determine how he or she is perceived by the subordinates. The leader must also be aware that different individuals perceive the leader differently, and these perceptions change in various situations. This leads to a second implication: a leader's relationships with various subordinates may include several bases of power. For each of the subordinates the bases of power may change over time and over different work situations.

A final study which examined all five bases of power

was conducted in a manufacturing firm by Student (1968). In this study, each of twelve work group leaders were rated by their subordinates on the extent to which the leader displayed each of the five bases of power. These ratings of leader influence were correlated with several organizational indices of effectiveness such as accident rate, absence rate, and quantity and quality of production. The major findings of Student's research include the following. First, legitimate power was perceived by subordinates as the most important base of influence possessed by a leader. However, it was not found to be related to any of the indices of organizational effectiveness. A possible explanation for this finding is that the work group leaders in the study did not differ significantly in the degree to which they possessed legitimate power. This possibility would preclude the demonstration of a viable relationship between legitimate power and the indices of work group effectiveness.

Second, perception of the leader's expert power was related to lower accident rates, lower absence rates, and higher production quality. A reasonable explanation for this finding is that a leader who possesses high levels of technical competence (expert power) will provide the supervision that would be necessary to avoid accidents and maintain high quality production.

Third, reward power was related to lower average hourly

earnings of the work group. This finding suggests that if something (e.g., hourly earnings) is to function as a reward, it must be a relatively scarce commodity.

Fourth, the use of referent power resulted in better production quality, less work material waste, and a greater number of suggestions made by the work group.

The use of coercive power, on the other hand, was related to lower maintenance costs and also to a greater number of suggestions from subordinates. It is important to note that coercive power was not related to production quality. These studies provide support for the contention that use of each of the five bases of power will have different consequences for the leader. Furthermore, based on these studies, the most desirable forms of leader influence appear to be referent and expert power.

Leaders differ in the extent to which they develop various bases of social power. One factor which may influence this development is the leader's desire to control other people, activities, and property. The next section will allow the reader to examine "power" from another perspective; i.e., the need, or desire, for power which may exist within a leader.

Power and Leadership

McClelland (1975) has proposed a theory of leadership which is based upon the assumption that individuals have a need for power (n -Power). He distinguishes between two basic power motives which he labels personal power (p -power) and socialized power (s -power). The personal power motive is considered to be a primitive expression of power and is characterized by attempts to exert personal dominance and "win out" over adversaries. Socialized power, on the other hand, is a more disciplined or controlled expression of power which is used for the benefit of others. It has been reported (McClelland, Davis, Kalin & Wanner, 1972) that individuals scoring higher on measures of s -power show a tendency to become organizational leaders.

McClelland proposes that the effective leader is one who displays three types of behavior in interacting with subordinates. First, the leader presents or proposes a set of goals which are likely to be judged desirable by the subordinates. Second, the leader must provide or clarify the means by which subordinates can obtain or achieve these goals. Finally, and most importantly, the leader must make subordinates feel strong and powerful, by allowing them to participate in goal planning and enhancing a high degree of personal involvement. McClelland rejects the view that a strong leader is one who influences followers by making

them subservient and submissive. He proposes that an effective leader is one who instills or shares power with subordinates. The concept of sharing power with subordinates is consistent with Bowers and Seashore's notion that leadership functions should be carried out by group members as well as the leader.

McClelland also suggests that situational factors are important to consider in the study of leadership. He suggests that whether leaders are effective or ineffective depends upon the appropriateness of their power motivation to the leadership situation. In combat, a leader who has high p -power may be very effective because that leader instills subordinates with feelings of strength and confidence. In a business setting, a leader with moderately high s -power may be more effective because of a greater demand by subordinates for participative decision-making.

McClelland does not view n -Power as a genetic or unalterable personality trait. On the contrary, he argues that one can psychologically re-educate adults in their need for power.. McClelland, Rhinesmith, and Kristensen (1975) report that the s -power motive and, consequently effective leadership, can be developed in individuals as a result of leadership training programs. A training program was developed to increase the power motivation of 167 community action agency staff members. The trainees were given a program which was specifically designed to recognize the two

types of power and to use socialized power effectively. The instruction included the following illustrations demonstrating the manner in which socialized power needs lead to achievement of organizational goals, (McClelland, Rhinesmith, and Kristensen, 1975, p. 96):

Making others feel strong

Building trust relationships, since you are working not against each other but with each other for shared goals

Cooperating rather than competing

Confronting and resolving conflicts and difficulties rather than denying them

Planning your personal goals and the steps needed to reach them

Stimulating others to proactive, strong action rather than passivity

Assessing your own strengths and weaknesses in these areas so that you can take steps to improve (p. 96).

The behavior of these individuals was evaluated six months after receiving power training. Sixty-six percent showed improvement as a consequence of training.

The theories reviewed up to this point have focused on various dimensions of leader behavior. You may have noticed that both McClelland's theory of power and Yukl's behavioral theory of leadership recognize that situational variables

influence leadership effectiveness. The next two theories which will be considered emphasize particular situational variables which may influence the leader-subordinate relationship.

We shall now turn to a contingency model of leadership. Many researchers and practitioners have emphasized that no particular leader style or decision-making process is legitimate for every leadership situation. Rather, some industrial jobs as well as military situations demand directive or autocratic leadership, while others require participative or democratic leadership. Contingency theory represents an attempt to match situations with appropriate leader style.

Contingency Model of Leadership Effectiveness

The first and most widely researched contingency theory was developed by Fiedler (1964). In a major step toward recognizing the importance of situational variables in affecting leader effectiveness, Fiedler's model assumes that group effectiveness depends, or is contingent, upon two factors: the personality of the leader and the favorableness of the situation for the leader. The latter variable is defined in terms of whether the group situation allows a leader the power and influence needed to control the group.

The personality of the leader is categorized as either task-oriented or relationship-oriented. If a leader is task-oriented, the primary motive of the leader is to accomplish the group task. If, on the other hand, the leader is relationship-oriented, he or she is motivated by a desire to relate to others. This particular individual seeks to be admired and recognized by others and to achieve strong emotional and affective relationships with others. Fiedler (1964, 1974) further assumes that these two types of leaders will be motivated toward the same goals only if their primary motives have been fulfilled; i.e., a task-oriented leader will be motivated toward good interpersonal relations only after the accomplishment of the task is no longer in jeopardy.

The motivational orientation of the leader is measured

by asking the leader to describe the individual with whom he or she would experience the most difficulty in working. The leader describes this individual using the Least Preferred Coworker (LPC) scale. A high score (greater positive descriptions) on the LPC scale has been found to be indicative of leaders who are relationship-oriented, whereas a low score (greater negative descriptions) on the LPC scale tends to be given by leaders who are task-oriented.

The factor of situational favorableness is measured by three variables: (1) leader-member relations; (2) task structure; and (3) position power. These three factors relate to the degree of control which the leader may have over the group. Leaders who are trusted and accepted by the group would find it easier to control their subordinates. Furthermore, leaders who deal with tasks which are clearly defined, will be at a control advantage. Finally, the degree to which a leader is able to reward and punish subordinates, further determines his or her degree of control and influence. Of the three variables, Fiedler (1974) states that leader-member relations are, by far, the most important. In essence, it would be most unusual for a leader who is not accepted by a group to be able to communicate task related information to that group.

The degree to which a leader is effective depends upon the interaction of the leader (LPC level) with the degree of situational favorableness. A very favorable situation

exists when leader-member relations are good, the task is structured, and the leader has high position power. An unfavorable situation is one in which relations are poor, the task is unstructured, and the leader has low position power. Moderate situations fall in between these extremes. The manner in which situational favorability interacts with the leader's LPC personality dimension to determine whether a task-oriented or relationship-oriented leader will be effective in a particular work situation is less obvious. Fiedler (1967, 1974) has shown that task-oriented (low LPC) leaders perform most effectively under extreme conditions, i.e., when leader-member relations, position power, and task structure are all either high or low. In the moderate conditions in which at least one of the three factors is different from the others, Fiedler has stated that the relationship-oriented (high LPC) leader is most effective. Fiedler argues that the most effective performance from a work group can be expected when the leader is matched to the particular situational characteristics of the organizational setting.

One of the assumptions in Fiedler's model is that leaders are fixed in their motivational orientations (LPC level) and that to change this would require extensive training or therapy. This position is not held by other theorists such as McClelland (1975) or Vroom (1976a) who contend that man is flexible and can adjust to the

peculiarities of the leadership situation. Inasmuch as Fiedler requires a match between the leader and the situation, the only alternative for leaders in an organization such as the U.S. Army would be to change the nature of the operational setting; i.e., to manipulate the particular situational variables so that they match the personality of the Army leader.

The Path-Goal Theory of Leadership

Since the original path-goal hypothesis was offered by Georgopoulos, Mahoney and Jones (1957), the idea that persons will follow the "path" of behavior that maximizes their attainment of a goal has received considerable modification. The most recent version of the path-goal approach (House, 1971; House & Dessler, 1974) is primarily concerned with the manner in which leader behavior affects subordinate motivation.

The role of the leader is one of aiding, guiding, helping, and providing the subordinate with support and rewards that could not otherwise be obtained from the work environment. The function of a leader is to make "paths" easier to follow and the goals easier to obtain.

Before proceeding further, let us consider some basic aspects of "path-goal" theory. First, a goal is defined as that which a subordinate desires. Examples of a subordinate's goals include pay, job security, self-esteem, and fulfillment of personal goals. Second, a path is the means by which the subordinate may fulfill his or her personal goals. Examples of paths are extra effort on the job, education, and establishing friendships with co-workers. The third aspect of path-goal theory is that the path to the goal may be blocked, thus inhibiting the person from achieving his or her goal. It is the responsibility of

the leader to intervene so that "paths" are made clearer and easier to follow, expectancies are clarified, and barriers are removed. Examples of blocking factors might include ambiguous tasks, an extraordinarily difficult job, or poor relations in the work group with peers or superiors.

According to path-goal theory, the leader needs to evaluate the personal goals of the subordinates. In addition, the leader must know what paths are available for the subordinate to follow in order to achieve these goals. To be an effective leader, the path followed by a subordinate must accomplish organizational goals as well as the personal goals of the subordinate. Consider an enlisted soldier (E-4) who has as a personal goal promotion to an E-5 NCO. Suppose that the individual needs extra technical training to qualify for this promotion. The lieutenant may clarify the E-4's path to his or her goal by specifying how the E-4 can apply for the training.

House and Dessler (1974) state that the degree to which a leader is able to enhance a subordinate's motivation depends upon the situational context. The two classes of situational variables which these authors assert to be important are "the characteristics of subordinates and the environmental pressures and demands the subordinates must cope with to accomplish work goals and satisfy their own needs" (p. 31).

The characteristics of the subordinates are important

determiners of the degree to which leader behavior is considered acceptable. These subordinate characteristics will also influence the effect of leader behavior upon the present and future satisfaction of subordinates. It would be expected that subordinates who have high needs for social interaction and affiliation would prefer leaders who foster a great deal of social exchange among the group members. Likewise, a subordinate who is very task-oriented and not interested in social relationships would prefer a leader who is specifically oriented toward clarifying the "paths" or behaviors that are necessary to accomplish a task.

In addition to the above, House and Dessler suggest that the subordinates' perception of their own abilities is an important determiner of the acceptability of a leader. A subordinate who believes that he or she has outstanding abilities will resist leaders who provide a great deal of direction. On the other hand, a subordinate who is not very confident will desire a leader who provides a great deal of structure.

The "environmental pressures and demands" which the subordinates must confront are those aspects of the environment which are not controllable by the subordinate. As a source of pressure, the nature of the work task interacts with the characteristics of both leader and subordinate. For instance, if the task is distasteful to the subordinate and the leader keeps close control and

emphasizes completion of work schedule deadlines, the subordinate will most likely be dissatisfied and resistant to subsequent demands. Where the task is clear and routine, attempts by the leader to provide direction could also be viewed as punitive.

This theory has important implications for a leader in the U.S. Army. The leader should be aware of the subordinates' needs and abilities and whether the work setting will provide the opportunity for satisfaction of these needs. Furthermore, leaders should be aware of whether their behavior is appropriate for the personal characteristics of the subordinate and the configuration of environmental demands which impinge upon the subordinate.

As a platoon leader, the 2nd lieutenant's duties resemble those of a basketball coach. Like a coach, the lieutenant must be able to integrate a group of individuals who have various needs and abilities and who will respond differently to directions. It is the leader that is able to recognize these differences and respond accordingly who will be most successful, whether it be a well integrated work group that accomplishes its goals or a well integrated basketball team that wins basketball games.

The two contingency theories of leadership which were reviewed reflect a more complex conceptualization of leadership than that underlying the previous theories. The theories which follow reflect an even more complex view of

the leadership process. The next four approaches to leadership all deal with leader-subordinate relationships in the context of organizational processes.

Social Exchange Theory

The social exchange approach to the study of leadership (Hollander, 1978; Jacobs, 1974) is a view of leader-subordinate interactions which is based upon the exchange of benefits between the leader and subordinates. Each party gives something (cost) and in return receives something (benefit) from the relationship. It is assumed that each party will also assess the equity of benefits relative to the incurred costs of each interaction. Hence, we can think of this theory as involving a personal cost-benefit analysis.

When a leader is elected by the group or emerges from the group, it is likely that the leader is esteemed and valued by the group. Furthermore, the legitimacy of such a leader is derived from the extent to which he or she is accorded authority by the group. The benefits accrued by the elected leader are likely to be increased status, esteem and a greater degree of influence. In return for their expended effort (cost), the subordinates may place greater demands (benefit) on their leader.

In situations in which the leader is formally appointed by an outside (of the group) source such as the formal organization, the direct social exchange between leader and subordinate is not as clear. Being appointed by an outside source, a formal leader probably would not be esteemed to

the same extent as an elected leader. For instance, the use of praise as a benefit to subordinates who exert extra effort in an assigned task could be viewed by the subordinate as false flattery and simply a reflection of the "company line". How would an appointed leader derive esteem? Probably through repeated demonstrations of consideration for subordinates and also evidence of technical expertise that facilitates accomplishment of group goals.

It has been suggested (Jacobs, 1974) that social exchange principles also operate in leader-subordinate transactions within formal organizations such as the U.S. Army. Obviously, an appointed leader, such as a 2nd lieutenant, does not have much flexibility to significantly modify assigned missions. It is paramount, therefore, that the lieutenant be able to influence the platoon to operate in a manner which is favorable to the overall mission of the company.

The leader must be able to influence decisions which the subordinate makes when comparing his or her position to that of other subordinates and to the organization as a whole. The leader should be aware that the subordinate's sense of equity often depends upon a comparison of the benefits and costs of other subordinates who are also involved in an exchange with the leader. A young enlisted soldier may claim that the amount of extra time spent in

preparing a motor pool for inspection is not justified in relation to the amount of recognition or praise which will be derived from the completion of these duties. Furthermore, that soldier may also feel that other members of the platoon who are not "pulling their share" of the assigned tasks will receive that same amount of recognition. It is the responsibility of the leader to communicate the justification of the cost/benefit ratios to the satisfaction of the involved subordinates. The success of such a communication would depend upon the leader's ability to demonstrate sensitivity to the needs and expectations of each of the subordinates.

Jacobs (1974) distinguishes between the concepts of leadership, power, and authority. Power is defined as "the capacity to deprive another of needed satisfaction or benefits, or to inflict 'costs' on him for noncompliance with the influence attempt" (p. 230). Authority, on the other hand, is viewed as a property of the relationships between positions in an organization. Authority exists as a result of "consensually validated role expectations for the position incumbents involved" (p. 231). That is, both parties of the working relationship agree on what role each is expected to fulfill in achieving the organizational goals. In many formal organizations, particularly the U.S. Army, a leader's authority is clearly defined by a set of rules or codes to which all members of the organization

agree to adhere. Leadership is considered as "an interaction between persons in which one presents information of a sort and in such a manner that the other becomes convinced that his outcomes (benefits/costs ratio) will be improved if he behaves in the manner suggested or desired" (p. 232).

Jacobs views leadership as the most difficult of the three processes to define and notes that an effective leader must have good communication skills and should be able to influence subordinates without sole reliance upon either power or authority. The overuse of either power or authority as a means of influence will lead to increased resistance among subordinates and a decrease in group effectiveness. Thus, Jacobs recommends that leadership training should concentrate upon improving a leader's communication and social exchange skills so as to reduce the need for influence based upon power or authority. While Jacobs has interpreted his theory as being consistent with past research, there is no empirical evidence available which directly tests specific predictions derived from his theory.

The Vertical Dyad Linkage Approach

The most common approach for studying the leadership process has been to examine the relationship between the leader and the group as a whole. The validity of this approach depends upon two key assumptions. First, it must be assumed that members of a work group are sufficiently similar on relevant dimensions so that the focus of attention can be the work group itself, rather than individual members of the group. The second key assumption of the traditional approach is that the leader interacts with each of the individual group members in exactly the same way. This approach assumes that any variation between group members' perceptions of leader behavior is due to "error" in the investigators' measurement of the members' perceptions.

Graen, Dansereau, and Minami (1972), offering an alternative approach to the study of leadership, suggest that the variation in group members' perceptions of leader behavior may not be due to measurement error, but rather results from unique individual leader-member interactions. In other words, individual group members perceive the leader differently because the leader does, in fact, interact with each of his or her subordinates differently. This approach has been termed the Vertical Dyad Linkage (VDL) model of leadership and recognizes that the assumptions of the

traditional approach may not hold (i.e., all individuals in the group are not the "same" and the leader interacts with each group member in a unique manner). The VDL model makes the following assumptions about leader-member interactions (Dansereau, Cashman, and Graen, 1973 p. 187-188):

(1) The behavior of a leader towards a subordinate depends upon the relationship of that particular subordinate and the leader.

(2) That different group members will respond quite differently to the same leader behavior.

If you think of some past leadership experience that you have had, such as in student government, ROTC duties, or on the athletic field, you will probably realize that you interacted with each of your subordinates in a different and unique manner. This is, in fact, to be expected since a good leader is responsive to the different needs and abilities of each of the group members. In looking back upon your past experience as a leader, you will probably also realize that if you had the opportunity to address the group as a whole, it was only to convey general information that was not of a personal nature.

The VDL approach focuses upon each member of the leader-subordinate dyad. Of special interest, therefore, is the nature of the vertical exchange that takes place between the leader and subordinate. The development of this vertical exchange, or leader-subordinate working

relationship, has been suggested (Dansereau, Graen, and Haga, 1975) as taking one of two general forms: leadership or supervision. A leadership relationship is based upon the interpersonal exchange between a leader and subordinate and not on reliance upon formal authority. This type of relationship is characterized by mutual trust, job latitude negotiation, greater subordinate job responsibility, and job freedom. The leader feels that the subordinate is capable of success on the job and therefore, behaves in a consultative manner with the subordinate. As the subordinate demonstrates acceptable work performance, the leader reciprocates by allowing the subordinate more responsibility and autonomy. This additional latitude produces more trust by the subordinate and results in a better working relationship with the leader.

Conversely, a supervisory relationship is characterized by the use of formal organizational authority in the vertical exchanges that take place between a leader and subordinate. In order to remain employed, the subordinate follows the rules and regulations set forth by the organization concerning his position. In the supervisory relationship, the leader feels that the subordinates are unable to get the job done without close supervision. As a result, the leader structures the job so that the role of each subordinate is made clear. In return for satisfactory work performance, the leader rewards the

subordinate with formal organizational rewards, such as pay and promotions.

The VDL approach to leadership views these leader-subordinate dyadic relationships as dynamic. Furthermore, the VDL model posits that for new organizational members, the emerging leader-subordinate vertical exchanges will develop into either leadership or supervisory relationships as a function of certain other factors, such as subordinate ability and personality. In fact, Dansereau, Graen, and Haga (1975) suggest that the most important factor in determining the nature of the leader-subordinate relationship is the amount of negotiating latitude afforded the subordinates in defining their work roles. The concept of negotiating latitude is based upon the extent that the subordinate is able to participate in the definition and execution of group and individual work related matters. The greater the negotiating latitude given the subordinate, the more likely it is that the leader-subordinate relationship is one characterized by leadership rather than supervision.

The relevance of the VDL model to the leadership behavior of the newly commissioned lieutenant may seem obvious. As a platoon leader, the lieutenant will develop different types of leadership relationships with different platoon members. For example, the lieutenant may have great respect for one of his squad leader's technical competence and trust this person's ability to lead his or her squad.

With this squad leader, the lieutenant is likely to develop a leadership relationship and allow the squad leader a great deal of freedom in leading his or her squad. This type of relationship will probably last as long as the squad performs well.

In contrast, consider the situation faced by Lt. Jones as described in Section I. Lt. Jones has a squad leader who seems to be having problems. If the squad leader cannot handle his or her troops or if Lt. Jones does not trust the squad leader's technical competence, then a supervisory relationship may evolve between Lt. Jones and the squad leader. Under these circumstances, Jones may closely supervise the squad leader, even to the extent of telling the squad leader exactly how to do things in the squad.

In an attempt to provide empirical support for the VDL model, Dansereau, Graen and Haga (1975) tested the hypothesis that, "negotiating latitude within the vertical dyad will produce leadership relations when given in generous amounts and will produce supervisor relations when given in meager amounts." (p. 50). The researchers collected data from sixty leader-subordinate dyads over a period of nine months. These data included measures of negotiating latitude, leader's attention given to individual subordinates, leader support behavior, dyadic problems, different organizational behaviors in which the subordinates engaged, and how discrepant these organizational behaviors

were from those which the leader wished them to perform. Subjects who reported high levels of negotiating latitude were categorized as "in" group members and those who reported low levels of negotiating latitude were classified as "out" group members. "In" group members reported: (a) more attention and supportive behavior from their leader; (b) less discrepancy in their work behavior from what they or their leader desired; and (c) fewer problems with their leader. In general, the differences between "in" and "out" group members remained stable or increased over time.

Other studies have found that relative to "out" group members, "in" group members have more positive attitudes toward work in general (Cashman, Dansereau, Graen, and Haga 1976); relate that their superiors use more referent and expert power but less coercive power (Graen and Cashman, 1975); show higher levels of agreement with leaders concerning the meaning of mutually experienced situations or events (Graen and Schiemann, 1978). In general, the above findings provide considerable support for the contention that subordinates who receive high levels of negotiating latitude ("in" group members) develop better working relationships with their leaders.

The next theory which will be discussed focuses upon another aspect of the leadership process. This theory is based on the assumption that over time the work group changes and the leadership behavior must also change for

effective leadership to occur. Hence, the behavior of both the leader and the subordinates change over the "life-cycle" of the work group.

Situational Leadership Theory

The Hersey and Blanchard (1969, 1977) approach (also referred to as Life-Cycle Theory) to the study of leadership places its primary emphasis upon the maturity of the individual subordinate or group of subordinates that is being led. The concept of maturity is defined as "the capacity to set high but attainable goals (achievement motivation), willingness and ability to take responsibility, and education and/or experience of an individual or a group" (p. 161, Hersey & Blanchard, 1977). This concept of maturity involves the two factors of job maturity and psychological maturity. Job maturity refers to the ability and technical knowledge to do a task and psychological maturity refers to feelings of self-confidence and self-respect. Hersey and Blanchard propose that the maturity level of a subordinate must be determined within the confines of a specific task. That is, a subordinate may have a high level of maturity with regard to one task and at the same time have a low level of maturity with respect to a different task. In general, it is assumed that as subordinates gain on-the-job experience with a specific task over time, then their maturity level, both individually and as a group, will increase. Situational leadership theory postulates that in order for effective leadership to occur, the leader must understand the relationship between his or

her leadership style and the particular maturity level of the subordinates.

Situational leadership theory considers the effective leader as the person who changes his or her leadership style in the manner which is appropriate to the changing maturity requirements of the work group. To demonstrate this assertion, Hersey & Blanchard use the example of parents who must change their parental style as their children mature. Since a young child is faced with an ambiguous and unstructured environment, the parent must provide close supervision and a highly structured environment for the child. As the child matures, the need for close supervision decreases and the child is allowed a greater degree of autonomy. During adolescence this independence needs to be supplemented by parental support and concern. Upon reaching adulthood, the need for parental guidance and support is diminished. A leader and a group will interact over the "life cycle" of their relationship in a manner which resembles the parent and the child. Figure 2-2 illustrates the "life cycle" of a group. This same diagram may also be applied to a single individual within the group. The first quadrant represents the situation of a new and inexperienced work group (or individual). The primary responsibility of the leader is to initiate structure and teach subordinates those skills that are necessary for task accomplishment. Less emphasis is given to relationship oriented behaviors.

When the subordinates have become somewhat familiar with the requirements of the task and consequently have gained task maturity, they may be viewed as occupying quadrant-2. At this point the leader should engage in relationship oriented behavior. The leader must continue to structure the environment and emphasize the more subtle aspects of the task. The relationship oriented behavior of the leader is needed to motivate subordinates to continue learning the task and to facilitate communication. Open communications must be established in order for the subordinate to receive the type of feedback required to master the task.

When subordinate(s) display a complete understanding of their task and are able and willing to accept responsibility for their work, the subordinate is assumed to exist within quadrant-3. The leader may now use a high relationship-oriented style. Since the group is mature with respect to the task, the leader does not need to emphasize task structure. The high relationship oriented leadership style should facilitate a better work group atmosphere and greater group cohesiveness. When the group performs as a cohesive unit, the work group may be considered to be fully mature and at quadrant-4. Since the group is now able to work independently, neither task oriented nor relationship oriented behavior are required from the leader.

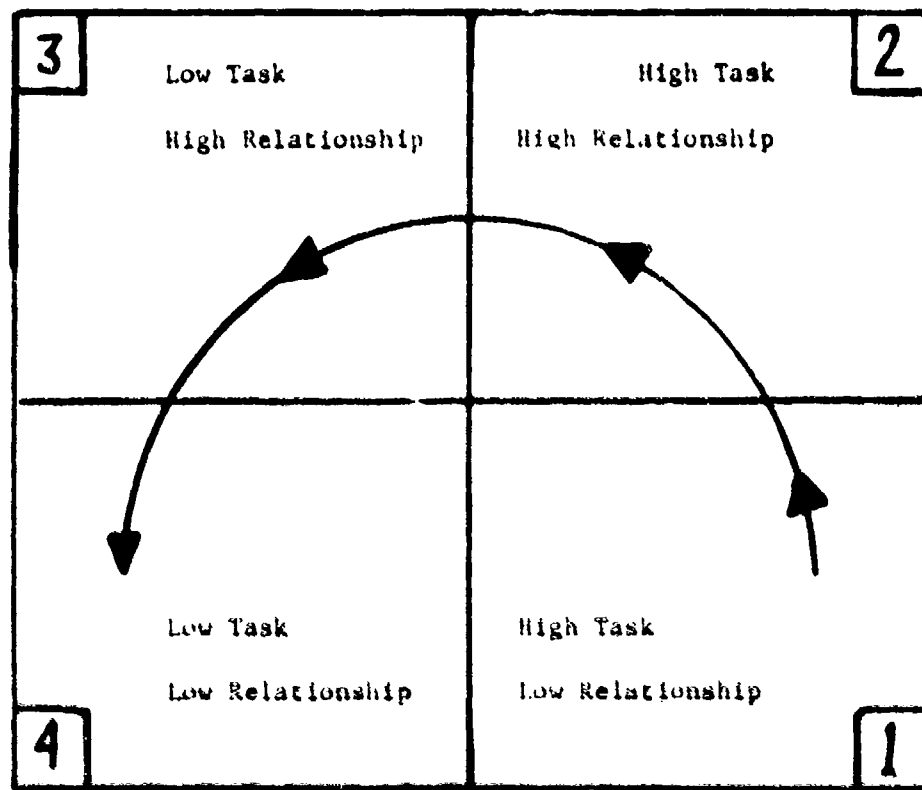
Hersey and Blanchard state that the primary indicators

of when leaders should change their style are observable changes in work group performance. They also state that a leader should be flexible enough to change his or her leadership style in a backward direction should there be a decrement in performance. The primary determinant of decreased performance is assumed to be a lowering of expectations followed by lowered performance which serves to reinforce the low expectations. This may easily result in a vicious circle and may demand a long term intervention program for recovery.

As is the case with a number of previously reviewed leadership theories, no research has been reported which directly tests predictions made by Hersey & Blanchard's theory.

The final theory of leadership reviewed addresses an aspect of the leader's role which you will find present in every leadership position you will hold; namely, the responsibility for making decisions.

FIGURE 2-2
LIFE CYCLE OF A GROUP*



- * Arrows illustrate normal development of group maturity, but group changes can occur in either direction along the arrow path-way.

Vroom's Decision-Making Model of Leadership

One of the most prolific models to be used in the study of leadership is the decision-making model presented by Vroom (Vroom, 1976b; Vroom & Yetton, 1973; Vroom & Jago, 1974). The approach represents a normative model of participation in decision-making and addresses the question of how much participation should be given subordinates when a leader is involved in a decision-making situation.

Vroom has developed a taxonomy of decision processes that are available to a leader in solving individual or group problems. These processes are shown in Table 2-1 and are ordered according to the increasing opportunity for subordinates to influence a leader in solving a problem. The processes range from complete autonomy of the leader to total participation by the leader's subordinates.

The intent of the model is to aid a decision maker in selecting those processes (Table 2-1) which are most appropriate for the problem confronting the individual. To begin with, Vroom has delineated eight problem attributes of decision-making situations. To aid the leader in this task, these attributes are formatted as yes-no questions which are answered in a sequential order; i.e., a "decision-tree." The answer to each question determines the track which the individual will follow in the final determination of which process or processes will be best for the particular

situation. These eight questions are presented in Table 2-2. The questions address two basic characteristics of any decision. The first characteristic is the quality of the decision. The second is the acceptability of the decision to the subordinates. Given that the decision maker is able to judge the status of a given problem on each of the eight attributes, certain decision processes are eliminated and the decision maker eventually is left with a feasible set of decision processes.

Inherent in Vroom's model are seven basic rules which attempt to protect both the quality and acceptance of the decision. Three of the rules relate to the maintenance of decision quality, while four relate to acceptance. The rules are as follows (Vroom, 1976b):

1. The Information Rule. If the quality of the decision is important and if the leader does not possess enough information or expertise to solve the problem by himself, AI is eliminated from the feasible set. (Its use risks a low-quality decision.)

2. The Goal Congruence Rule. If the quality of the decision is important and if the subordinates do not share the organizational goals to be obtained in solving the problem, GII is eliminated from the feasible set. (Alternatives that eliminate the leader's final control over the

decision reached may jeopardize the quality of the decision.)

3. The Unstructured Problem Rule. In decisions in which the quality of the decision is important, if the leader lacks the necessary information or expertise to solve the problem by himself, and if the problem is unstructured, that is, he does not know exactly what information is needed and where it is located, the method used must provide not only for him to collect the information but to do so in an efficient and effective manner. Methods that involve interaction among all subordinates with full knowledge of the problem are likely to be both more efficient and more likely to generate a high-quality solution to the problem. Under these conditions, AI, AII and CI are eliminated from the feasible set. (AI does not provide for him to collect the necessary information, and AII and CI represent more cumbersome, less effective, and less efficient means of bringing the necessary information to bear on the solution of the problem than methods that do permit those with the necessary information to interact.)

4. The Acceptance Rule. If the acceptance of the decision by subordinates is critical to

effective implementation, and if it is not certain that an autocratic decision made by the leader would receive that acceptance, AI and AII are eliminated from the feasible set. (Neither provides an opportunity for subordinates to participate in the decision and both risk the necessary acceptance.)

5. The Conflict Rule. If the acceptance of the decision is critical, and an autocratic decision is not certain to be accepted, and subordinates are likely to be in conflict or disagreement over the appropriate solution, AI, AII, and CI are eliminated from the feasible set. (The method used in solving the problem should enable those in disagreement to resolve their differences with full knowledge of the problem. Accordingly, under these conditions, AI, AII, and CI, which involve no interaction or only "one-on-one" relationships and, therefore, provide no opportunity for those in conflict to resolve their differences, are eliminated from the feasible set. Their use runs the risk of leaving some of the subordinates with less than the necessary commitment to the final decision.)

6. The Fairness Rule. If the quality of decision is unimportant and if acceptance is

critical and not certain to result from an autocratic decision, AI, AII, CI and CII are eliminated from the feasible set. (The method used should maximize the probability of acceptance as this is the only relevant consideration in determining the effectiveness of the decision. Under these circumstances, AI, AII, CI, and CII, which create less acceptance or commitment than GII, are eliminated from the feasible set. To use them is to run the risk of getting less than the needed acceptance of the decision.)

7. The Acceptance Priority Rule. If acceptance is critical, not assured by an autocratic decision, and if subordinates share the organizational goals relevant to the problem, AI, AII, CI, and CII are eliminated from the feasible set. (Methods that provide equal partnership in the decision-making process can provide greater acceptance without risking decision quality. Use of any method other than GII results in an unnecessary risk that the decision will not be fully accepted or receive the necessary commitment on the part of subordinates.) (p. 1541-1542)

Let us examine exactly how a person might use Vroom's method by examining the decision flow-chart given in Figure 2-3. This chart (Vroom & Yetton, 1973, p. 194) presents the

eight problem attribute questions, the tracks which would be followed upon answering each attribute, and the feasible set of solutions for a given situation.

To illustrate the method, let us consider a new lieutenant who has just assumed the command of a platoon and is faced with the decision to select one of three subordinates for entry into the Basic Non-Commissioned Officer (BNCO) Training Program. First, the officer must answer question A: Is there a quality requirement such that one solution is likely to be more rational than another? It is likely that the officer will answer "yes" since one of the individuals is most likely to be more qualified than the others. Proceeding then to question B, the officer answers the question of whether he or she has sufficient information to make a high quality decision. Being new to the platoon, it is likely that the officer has not yet obtained the necessary information with which to assess the individuals. Therefore, the answer to question B would be "no" and the next question is considered. Question C, which asks whether the problem is structured, would necessitate that the officer know what information is needed and where it may be obtained. The answer would be "yes" since the necessary qualifications for entry into BNCO are readily available and both company records and personal contact with the platoon sergeant would provide access to this information. Question D concerns whether the acceptance of the leader's decision

by the subordinates is critical to effective implementation of the decision. Since the selected individual would not be influenced by the other subordinates while in BNCO, the answer to the question would be "no". The next question, question E, would also be "no" since the subordinates who are not selected would most likely question the validity of the decision.

Looking at the flow-chart, the feasible set of decisions is Set 10. Since the situation is basically a group problem, the feasible set includes AII, CI, and CII. From Table 2-1, it is obvious that these three decision-making processes are similar to the extent that the final decision must be made solely by the leader and that the leader may share the problem with subordinates. The selection of the single most appropriate process would depend upon consideration of such variables as the amount of time available to make a decision and the degree to which the leader wishes to involve the subordinates in the gathering of information.

The model as presented is based upon the least number of man-hours which would be required for a decision. Vroom (1974) has suggested that in the event that the decision process is not constrained by a time-factor, an alternative approach may be used that places less weight upon the time-factor and more weight upon subordinate participation and development.

This concludes our review of the contemporary theories of leadership. If you wish to obtain more information about any particular theory, the references cited represent the starting point in your search for additional knowledge. The next section of the text will present a general model within which you can integrate these different viewpoints of leadership.

FIGURE 2-3

DECISION PROCESS FLOW CHART

- A Is there a qualitative requirement such that one solution is likely to be more rational than another?
- B Do I have sufficient info to make a high quality decision?
- C Is the problem structured?
- D Is acceptance of decision by subordinates critical to effective implementation?
- E If I were to make the decision by myself, is it reasonably certain that it would be accepted by my subordinates?
- F Do subordinates share the organizational goals to be attained in solving this problem?
- G Is conflict among subordinates likely to be preferred solutions? (This question is relevant to individual problems.)
- H Do subordinates have sufficient info to make a high quality decision?

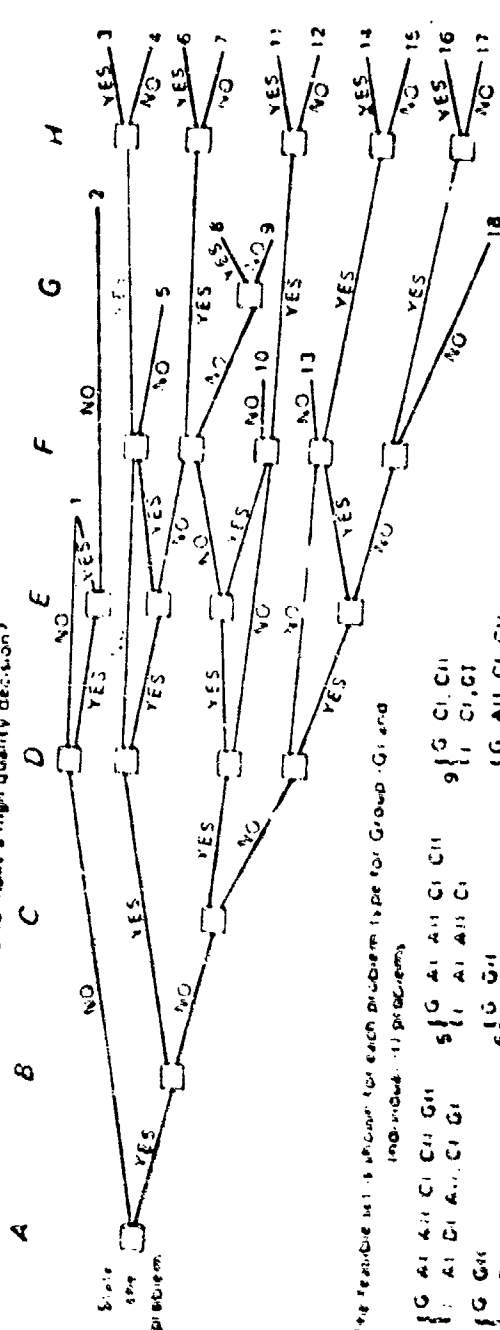


TABLE 2-1

DECISION-MAKING PROCESSES

Group Problems	Individual Problems
<p>AI. You solve the problem or make the decision yourself, using information available to you at the time.</p> <p>AII. You obtain the necessary information from your subordinates, then decide the solution to the problem yourself. You may or may not tell your subordinate what the problem is in getting the information from them. The role played by your subordinates in making the decision is clearly one of providing the necessary information to you, rather than generating or evaluating alternative solutions.</p> <p>CI. You share the problem with the relevant subordinates individually, getting their ideas and suggestions without bringing them together as a group. Then you make the decision, which may or may not reflect your subordinates' influence.</p> <p>CII. You share the problem with your subordinates as a group, obtaining their collective ideas and suggestions. Then you make the decision, which may or may not reflect your subordinates' influence.</p> <p>GII. You share the problem with your subordinates as a group. Together you generate and evaluate alternatives and attempt to reach agreement (consensus) on a solution. Your role is much like that of chairman. You do not try to influence the group to adopt "your" solution, and you are willing to accept and implement any solution which has the support of the entire group.</p>	<p>AI. You solve the problem or make the decision by yourself, using information available to you at the time.</p> <p>AII. You obtain the necessary information from your subordinate, then decide on the solution to the problem yourself. You may or may not tell the subordinate what the problem is in getting the information from him. His role in making the decision is clearly one of providing the necessary information to you, rather than generating or evaluating alternative solutions.</p> <p>CI. You share the problem with your subordinate, getting his ideas and suggestions. Then you make a decision, which may or may not reflect his influence.</p> <p>GI. You share the problem with your subordinate, and together you analyze the problem and arrive at a mutually agreeable solution.</p> <p>DI. You delegate the problem to your subordinate, providing him with any relevant information that you possess, but giving him responsibility for solving the problem by himself. You may or may not request him to tell you what solution he has reached.</p>

TABLE 2-2

PROBLEM ATTRIBUTES

Question A

Is there a quality requirement such that one solution is likely to be more rational than another?

Question B

Do I have sufficient information to make a high quality decision?

Question C

Is the problem structured?

Question D

Is acceptance of decision by subordinates critical to effective implementation?

Question E

If you were to make the decision by yourself, is it reasonably certain that it would be accepted by your subordinates?

Question F

Do subordinates share the organizational goals to be obtained in solving this problem?

Question G

Is conflict among subordinates likely in preferred solutions?

SECTION III: A MODEL OF LEADERSHIP DEVELOPMENT

Leadership Theory and the New Leader

After reading the reviews of the current leadership theories and research existing in the field of psychology, you might ask if this discipline has anything other than confusion to offer the student of leadership. Certainly, psychologists offer no simple formula or set of rules on how to become an effective leader. If you think about how complex the job of a leader is and how many different leadership situations there are, then you will understand why such a formula does not exist. However, this does not mean that one cannot develop a model of leadership to serve as a guide and tool in the search for an understanding of the leadership process. The purpose of this section of the text is to present a model of leadership which will be of practical use to students who are interested in the leadership process. Having just finished the review of existing theories of leadership, you probably wonder what advantages would be gained by the addition of another model of leadership. Hopefully, you will find this new model to be somewhat different.

The primary purpose of the model is to integrate the information discussed by the various theories and research existing in the leadership literature. The focus of the model is not on specific leadership principles or specific situations which call for one type of leader behavior versus another. Instead, it is a tool to be used in gaining a view of the leadership process as an integrated whole. Once you have been able to view the "big picture", you will be better able to see where you fit into the picture. It is much easier to decide how to accomplish a goal if one first knows where one stands initially. For example, if you knew that you wanted to drive to Chicago and did not know whether you were in California, Minnesota, Virginia, or Florida, you would not really know how to start. Do you go south, north, west, or east? If someone handed you a map of the United States with a big X marking your initial starting point, then your task would be greatly simplified. This is the function which a model of leadership should serve. The model should provide you with a more complete picture of the leadership process and allow you to place an X marking the spot where you currently stand in relation to this process. Once you know where you stand and where you wish to go in becoming an effective leader, the model should provide you with some knowledge which will make your task easier.

As was noted earlier, it is impossible to provide a

completely foolproof set of rules or formulas guaranteeing your success as a leader. Going back to our analogy of a map of the United States, it is unlikely that anyone could give you directions so specific that when you left your home to travel to Chicago, you knew exactly how many right and left turns you would make and their specific sequence. Instead, you would find major alternate routes mapped out. This is what our model will hopefully accomplish. It will allow you to see the major routes you may follow in becoming an effective leader. Likewise, it will provide you with alternate routes if you unexpectedly run into a barrier in your course of development as a leader. However, it cannot give you specific directions or rules which cover every specific situation.

The model which will be presented is directed at describing the leadership process in formal organizations such as a business or the military. That is, the model deals primarily with the situation in which a leader is appointed to lead a group of individuals for the purpose of achieving a particular task or mission. You will find, however, that many of the principles included in the model are also relevant to the leadership process in less formal settings.

Organizational Maturity

In order to develop a model of leadership which presents a broad picture of the leadership process, we must first discuss some concepts which will allow you to view, in the proper perspective, all of the theories of leadership you have read. Perhaps two of the most basic and important concepts which have been largely ignored by leadership theorists, with the exception of Hersey and Blanchard, are those of time and what we shall label "organizational maturity". Leadership, like any other behavioral or psychological process, occurs over a period of time. Closely related to the concept of leadership occurring across a particular time period, is the process of organizational maturation. As you should remember, situational leadership theory focuses upon the concept of group maturity and change in leadership over time. We will begin by expanding upon the concept of changes in the leadership process over time and examining the degree of experience, or organizational maturity, of not only the work group as a whole, but also the leader and individual subordinates as well. This approach will allow us to develop a model of the leadership process which will integrate many of the approaches to leadership which currently stand as separate, and independent descriptions of various aspects of leadership.

The manner in which "organizational maturity" is used in the present context does not refer to the chronological age of the organization. Instead, organizational maturity refers to the degree of experience and understanding which an individual or group has concerning the particular organization in which they operate. Organizational maturity is specifically concerned with several aspects of experience and knowledge which influence one's ability to function effectively in the organization. Think of how you have changed since you first arrived at college. Regardless of how well prepared you were to cope with college life, you have probably learned a great deal over time about how to get things done more efficiently within the college environment. You have likely learned a number of things, such as, which classes are best to be avoided and also how to register for classes or buy books with the least amount of time spent waiting in lines. These are examples of knowledge which you could gain only by interacting within the college environment. This is the type of knowledge which contributes to "organizational maturity" within the college environment.

Organizational Maturity: Its Definition and Dimensions

The organizational maturity of an individual includes a number of related skills which are acquired over time. An individual's organizational maturity is defined as including

the individual's:

- (1) technical competence,
- (2) communication skills,
- (3) human relations skills,
- (4) knowledge of the organizational structure,
- (5) understanding of different types of power and influence, and
- (6) understanding of his or her role in the organization.

Each of these dimensions is important and will be discussed in some detail. In the discussion that follows, it will become apparent that different dimensions may be more important to the performance of different jobs. For example, a receptionist may need very good communication and human relations skills due to extensive contact with other individuals. On the other hand, the operator of a large piece of construction equipment may need highly developed technical skills and relatively few communication and human relations skills. However, due to the complexity of the leadership process, all six dimensions are important for the effective performance of a leader, regardless of the specific setting in which they are working. To this end, if one defines the leadership process in terms of influence without reliance on formal authority, all six dimensions of organizational maturity are important for effective leadership.

Technical competence. We will begin our discussion with the dimension of technical competence. The term technical competence refers to the "hard" skills or knowledge required to perform various tasks. This type of knowledge can often be obtained from books, technical manuals, or lectures. For example, the knowledge of calculus and use of a slide rule or calculator are part of the technical competence required of an engineer. Military officers are expected to possess technical competence in areas such as reading maps or using a compass. While a worker performing a job such as operating a fork lift may be required to be technically competent in only a limited area of knowledge, a leader is often required to have at least some technical competence in all of the primary tasks performed by the work group. For example, a lieutenant must have at least a rudimentary knowledge or technical competence in all of the areas or tasks performed by members of his or her platoon. This does not mean that lieutenants must be able to perform every task themselves. (Indeed, many officers will find themselves leading subordinates who have undergone extensive technical training to perfect special skills.) Rather, the officer should at least know what tasks must be accomplished even if he or she does not know specifically how they are done. Without this level of technical competence, you can easily imagine that it would be impossible to evaluate subordinates or coordinate their

efforts. Thus, it is absolutely critical that a good leader be technically competent. Subordinates are not likely to respect an incompetent leader nor be willing to follow his or her orders when their lives are at stake.

Think of the coach of a professional football team. The coach may not be the best quarterback or pass receiver, indeed he may never have been a quarterback. However, the coach must have a great deal of technical competence in football with regard to knowing what to do and when to do it. Players on the football team itself are the specialists who carry out the tasks. The coach is likely to be respected by members of the team to the extent that he has the skills and knowledge which allow him to make correct decisions and provide the guidance needed for the team to win. The technical competence needed by a military leader is similar. The military leader must know what needs to be done and when, so that problems can be identified and strategies and tactics developed which will lead to successful completion of their unit's mission. Just as the head football coach has defensive and offensive coaches to train players in specific skills, Army officers have a group of NCO's to train their soldiers in specific technical skills needed to perform their job.

Thus, while technical competence is important to the organizational maturity of both the leader and subordinates, the scope and depth of the technical competence needed by

these individuals is different. A leader needs a broad scope of technical competence in a variety of areas. An individual worker, on the other hand, needs more extensive technical skills in a limited area. Individuals in a position such as the offensive line coach or the NCO must possess a form of technical competence incorporating both of the above extremes to a certain extent.

The length of time required to become technically competent depends upon the nature of the task that the individual must perform. Often the process of gaining technical competence is a sequential process of building upon skills achieved previously. As noted before, some of these technical skills or knowledge may be gained in the classroom or from books. Other technical skills can be gained only with on-the-job training or experience. Thus, the longer an individual works on a job requiring the same technical skills, the more he or she will have the opportunity to become technically proficient and increase this aspect of his or her organizational maturity.

This is the last point at which the dimension of technical competence will be discussed in any great detail in this text. The model of leadership to be discussed and the exercises accompanying the text concentrate on the "soft" skills of the leader. The training of technical skills is outside the realm of this course. You will receive this type of training in other ROTC courses and in

the Officer Basic Course.

Communication skills. Let us briefly define the five dimensions of organizational maturity which can be classified as "soft skills" or knowledge. All of these dimensions will be addressed in much greater detail in later sections of the text. The communication skills dimension of organizational maturity is concerned with how well an individual has learned to communicate in the organization. This includes the receiving and transmitting of both verbal and written information and the adequacy of the communication channels established by the individual. This dimension may be the most critical dimension of organizational maturity for a leader because almost all other leadership skills depend upon the ability to communicate.

Human relations skills. The third dimension of organizational maturity is human relations skills. This dimension focuses upon the understanding of cultural differences or biases among co-workers and subordinates, the ability to give constructive criticism and feedback, and the sensitivity to the feelings or emotions of other persons. This dimension of organizational maturity is very closely related to the communication dimension and it is unlikely that one can develop good human relations skills without first being able to communicate.

Understanding organizational structure. Knowledge of

both the formal and informal structure of the organization is the fourth dimension of organizational maturity. Knowledge of the formal structure can be defined as whether the individual understands which persons in an organization are formally sanctioned to be responsible for the execution of specific duties. Knowledge of the informal structure, on the other hand, refers to an individual's understanding of the manner in which tasks actually get accomplished. This distinction does not preclude the possibility of a substantial degree of overlap between the formal and informal organizational structures.

Power and influence. The fifth dimension of organizational maturity is related to the individual's understanding of different types of power and influence which are used, or might be used, by members of the organization. This understanding of power and influence is not independent of the individual's understanding of the organization's formal and informal structures, or the individual's human relations skills. Rather, these three dimensions are interrelated.

Your role in the organization. The final dimension of organizational maturity is the individual's understanding of his or her role in the organization. This includes knowing where one fits into both the formal and informal organizational structures. It also includes an understanding and ability to cope with the role ambiguity

and role conflicts which might occur within the organization.

The five "soft skill" dimensions of organizational maturity, which we have defined above, represent the primary focus of the training exercises. You will be performing these exercises during the laboratory section of the class.

Interrelationship of the Dimensions of Organizational Maturity

While we have discussed the concept of organizational maturity in terms of six dimensions, you should not think that one would be able to measure an individual's organizational maturity by simply adding up that individual's scores on measures of each of the six dimensions. As we have already noted, these dimensions are not independent, rather they are interrelated. To this end, there is a rational order to the development of certain dimensions of organizational maturity, particularly with respect to a leader's organizational maturity. As we noted earlier, the development of human relations skills depends upon the previous development of communication skills. In a similar fashion, to understand the informal structure of the organization one must be able to first establish a series of communication networks that will allow the gathering of necessary information. The establishment of such communication networks depends on both communication

and human relations skills. To acquire an adequate understanding of different types of power and influence in an organization requires the use of human relations skills. In addition, the leader must understand how individuals derive power from their positions in formal and informal organizational structures. Finally, to understand one's own role in the organization, he or she must first know his or her position in existing formal and informal structures and the extent of power or authority he or she possesses.

The above developmental sequence for the various dimensions of organizational maturity is an important point to remember. The model of the leadership process which will soon be discussed is based upon the assumption of this developmental sequence. This sequence is also important when one is attempting to assess his or her own level of organizational maturity and/or the organizational maturity of his or her subordinates. For subordinates, the dimensions of communication skills, human relations skills, and knowledge of organizational structures should develop in a manner similar to that of a leader. For example, communication skills must be developed before the subordinate is able to improve human relations skills. In addition, these communication skills are needed to gather the information needed to determine what organizational structures exist and where he or she fits into these structures. Communication skills, human relations skills,

and technical competence, may all be important for effective job performance regardless of an individual's position in the organization. For example, if a soldier lacks human relations skills, then he or she may have trouble relating to the rest of the platoon and, consequently, conflicts may develop which lead to poor work performance. Likewise, if the worker has not learned to listen well, he or she may have difficulty following instructions from the leader.

You should now have a fairly good idea of what is meant by the term "organizational maturity." Before moving to the model of leadership, however, you should understand several aspects of the relationship of organizational maturity to the time you spend in an organization, and what happens to your level of organizational maturity if you change organizations.

Generalization of Organizational Maturity

As you read the definitions of the six dimensions of organizational maturity, you may have realized that the more basic dimensions such as communication and human relations skills are qualities which an individual may possess independent of the organization in which he or she functions. On the other hand, technical competence, knowledge of the organizational structures, understanding of one's role in the organization, and the types of power and influence used in the organization are dimensions which must

be viewed within the context of a particular organization. Therefore, if one moves from one organization to another, his or her relative level of organizational maturity may decline.

To the extent that an individual moves from one similar work unit to another, the organizational maturity gained previously may generalize to the new setting. However, there may be a brief period of less efficient functioning due to the time needed to establish communication channels in the new work unit. Think about what it would be like to transfer from one college to another. If both colleges were on the quarter system, were about the same size, and administrative procedures for registration and assignment to classes were similar, then you would probably maintain a fairly high level of organizational maturity. On the other hand, think of our example of the football coach. If the coach moved from one professional football team to another he would also maintain a fairly high level of organizational maturity. If he moved to the position of coaching a college rugby team, his level of organizational maturity would be quite low and he would need new organizational skills. In this case, he not only would have to establish new communication channels, but since the organizational structure at the college level would be different his role would also be different.

It is also important to note that organizational

maturity may be specific to a particular organizational level. For example, a lower level manager might be considered organizationally mature in his or her present position. If moved to an upper level management position, the individual would have a low level of organizational maturity until he or she learns the new role and becomes familiar with the upper level organizational structures. Once again, consider your role as a student. By the end of your senior year, you are likely to have acquired a great deal of organizational maturity with respect to the role of an undergraduate student. If you returned to the same college the next semester as a graduate student with teaching and/or research responsibilities, you may find that you have much to learn about your new role. With respect to this new position, you will have a level of organizational maturity which is lower than that achieved the previous year.

Increased levels of organizational maturity are assumed to increase the potential for the individual to function effectively within the organization. This is true because the individual's tasks should be less ambiguous and the individual should be more aware of the resources available and the proper channels to be followed in obtaining these resources.

Increasing organizational maturity. The acquisition of organizational maturity is not automatic. However, over

time a certain maturity level can be reached. If an individual has the ability to learn from his or her experiences with the organizational structure, then the potential to increase organizational maturity exists. The extent and rate at which a high level of organizational maturity is reached will vary among individuals. This will depend upon motivational factors as well as the individual's abilities. The development of human relations skills and the acquisition of knowledge about organizational structures requires active participation from the individual. Thus, to gain a high level of organizational maturity, an individual must be motivated. However, this does not preclude the possibility that an individual who has a high level of organizational maturity may be motivated toward accomplishing personal goals which may conflict with the organizational goals of the work unit.

Group Maturity

Up to this point, we have been discussing organizational maturity in terms of individuals, i.e., subordinates and leaders. One may also consider the maturity of the work group as a whole. When used in this sense, the term "organizational maturity" refers to the degree of development that a group of individuals has achieved while working together. In a mature work group, both formal and informal organizational structures will have

evolved within the group. The group may also have defined its own role in the organization by the establishment of group goals and objectives.

We have devoted a great deal of time to discussing the concept of organizational maturity of the leader, the subordinates, and the work group as a whole. The reason for the considerable concern of this topic is that organizational maturity is a central concept for the model of leadership development which will be discussed shortly. In fact, if we return to our analogy of our model of leadership as a map, the dimensions of leader organizational maturity and subordinate organizational maturity form the north-south and east-west coordinates which we will use to orient ourselves as to where we must go or what we must do to become more effective leaders. To a considerable extent, the organizational maturities of the leader and the subordinates at the time the leader enters a group define the position that a leader occupies with respect to leadership development. Knowledge of one's level of organizational maturity relative to the organizational maturity of the work group allows a leader to have a clear idea of what is needed to lead a group more effectively.

The model of leadership which will now be presented will be an aid in assessing your position as a leader when you enter a group, and what must be done to develop effective leadership. In later discussions of the model we

will suggest some alternative routes you might consider in achieving the goal of effective leadership.

The Developmental Model of Leadership

The model of leadership which we shall now present is labeled the Developmental Model of Leadership. We have chosen this title because the idea that the leadership process is essentially a developmental process underlies the model. The course of development of this leadership process is determined primarily by the organizational maturity of the leader, subordinates, and the organizational unit formed by these individuals.

Assumptions of the Model

As you well know from studying sciences such as physics and chemistry, the form and content of a model or theory is shaped in part by the initial assumptions made concerning the phenomenon of interest. The developmental model of leadership includes three basic assumptions concerning the leadership process. First, the stage of organizational maturity of both the subordinates and leader are critical variables moderating the optimal leader-member relationships. The second assumption is that the proper unit for analysis of the leadership process is the leader-individual subordinate dyad. The final assumption which is critical to the model is that a reciprocal causal relationship exists between subordinate and leader behavior which is open to influence from outside forces. A

reciprocal causal relationship is one in which the behavior of each individual in the relationship causes changes in the other individual's behavior. In this case, the leader's behavior is expected to influence the subordinate's actions, while at the same time, the subordinate's behavior will influence leader behavior. This reciprocal relationship is expected to be directed toward the attainment of a state of equilibrium characterized by both acceptable organizational performance and worker satisfaction.

You might ask why the Developmental Model of Leadership is based upon these three assumptions. The rationale for making the assumption concerning the importance of leader and subordinate organizational maturity levels comes partially from material collected in interviews with hundreds of officers, NCOs, and enlisted persons in the U.S. Army. The importance of the six dimensions included in the concept of organizational maturity was stressed repeatedly by these personnel. Some of the critical incidents described by these individuals will be presented later in the text. As you read these descriptions you will begin to see why the levels of organizational maturity of both the subordinates and leader are important in determining the appropriate leader behavior in a given situation. If you think about the leadership process you will soon see the need for including such an assumption in any model of leadership. The level of organizational

maturity of the subordinates will partially determine their needs with respect to guidance from the leader. The leader's organizational maturity level will represent a limit as to his ability to provide such guidance. This first assumption may be viewed as part of a more general view that the leadership process does not take place independently of the individual subordinate. The reason for making the assumption that leader-member dyadic relationships, rather than the leader-group relationships, are the proper unit to examine in the discussion of the leadership process is based upon the research done by Graen and his associates (Graen, Dansereau, and Minami, 1972; Graen and Cashman, 1975). As you may recall, these authors developed a vertical dyad linkage model of leadership which proposed that a leader develops a different relationship with each of the subordinates. If you think about your own experiences in leading groups, this assumption will probably make a great deal of sense to you. As a leader, your feelings and behavior differed toward your subordinates. If we wanted to develop a model which actually described how you behaved as a leader, the only way to capture or explain these differences would be to examine your relationship with each subordinate and not with the group of subordinates as a whole.

The final assumption, that a reciprocal causal relationship exists between subordinate and leader behavior

is supported by a number of research studies (Greene, 1973, 1975; Downey, Sheridan, and Slocum, 1976). This assumption implies that a leader changes his behavior in response to his subordinates' behavior as well as the subordinates changing their behavior in response to the leader's actions. Think about our example of the football coach. If his team has played well in the first half of a game, when they go to the locker room at half-time he will probably praise their good effort and stress that they must continue playing well in the second half. On the other hand, if the team has been sluggish and played poorly, the coach's locker room speech may be quite heated and aimed at "firing up" his players. Thus, the football players' behavior influences the coach's behavior as well as his behavior influencing them. Furthermore, a laboratory study by Barrow (1976) suggests that leaders change their behavior so as to provide structure when production goes down and consideration when subordinate performance improves. This compensatory shift in behavior would indicate that the leader is attempting to establish or maintain a state of both adequate performance and worker satisfaction.

The Initial Leadership Context

Given these three assumptions, let us now turn to the developmental model of leadership. The model emphasizes that the development of the leadership process involves

from a point that is defined by the levels of organizational maturity of both the leader and subordinate. That is, at the time that a leader enters a work unit in an organization, the resulting unit can be placed in one of the four quadrants illustrated in the diagram of Figure 3-1. The vertical axis of this diagram represents the leader's level of organizational maturity. The horizontal axis represents the level of organizational maturity of the subordinate(s). Each of the four quadrants in the diagram represents a different organizational context from which the development of the leadership process should take a different course. Ultimately, the organizational unit formed by the leader and subordinate(s) should advance to Quadrant I where both the subordinate(s) and leader have high levels of organizational maturity. That is, this state of mature leader and mature subordinate(s) represents the optimal organizational state and one which has the highest potential of being characterized by effective leadership and the high levels of individual and group performance.

Quadrant II represents the state of high leader maturity and low subordinate maturity. This situation may be found when a new work group is established and the leader has prior experience in the organization or when a leader is familiar with a task while his subordinates are not. One should note that Hersey and Blanchard's (1969) situational leadership theory concentrates on the transition of the

organizational unit from Quadrant II to Quadrant I.

Quadrant III represents the situation in which neither the leader nor the subordinates have a high level of organizational maturity. This situation represents the context found in many of the laboratory studies of emerging leadership. In these studies subjects are brought into a very artificial and unfamiliar setting. Usually the leader and subordinates are both unfamiliar with the task to be performed. These situations also exist in the real world when a new business is being established, or when a new task is imposed upon an organizational unit in which the leader is unsure of what must be done to accomplish the task.

In the Army, a Quadrant III situation may also develop when a newly commissioned lieutenant enters a platoon in which several of the NCOs have recently been promoted or transferred into the platoon. Since the NCOs are the primary subordinates with whom the lieutenant interacts, we now have a situation where both the leader (lieutenant) and his or her subordinates (NCOs) have a low level of organizational maturity. This is one of the most difficult type of leadership situations into which a new lieutenant might be placed.

Quadrant IV represents the state in which a leader low in organizational maturity enters an established work group with subordinates who are high in organizational maturity. This situation is typically the one encountered by a new

lieutenant assigned to his or her first platoon.

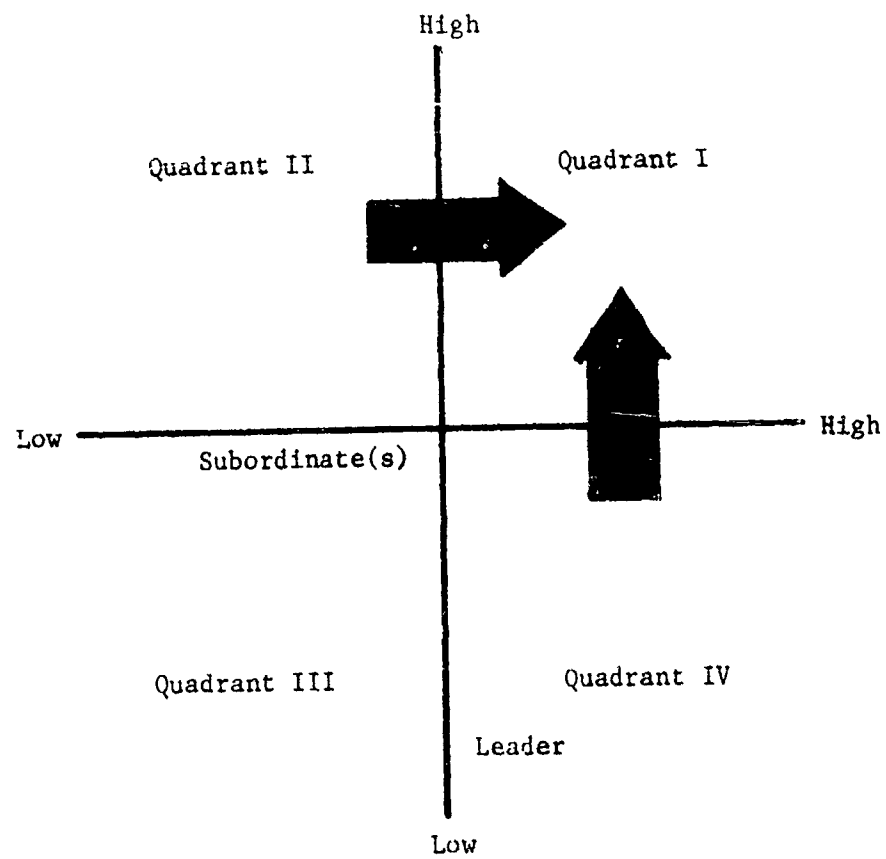
Figure 3-1 can also be used to illustrate the dynamics underlying the various courses of leadership development which are expected to evolve given these four different organizational maturity contexts. Note that the arrows showing horizontal and vertical movement actually represent two maturation processes. Movement in the horizontal direction indicates changes in the subordinate's organizational maturity, while the vertical arrow represents changes in the leader's organizational maturity. Since it is assumed that, over time, all work groups are moving toward Quadrant I or the state of high leader organizational maturity and high subordinate organizational maturity, the initial starting point will dictate the general direction of movement or change. For example, if one starts in Quadrant II, entering a group of subordinates low in organizational maturity, then it can easily be seen that the major direction of movement will be horizontal. This indicates that the course of leadership development which occurs in this situation is largely influenced by changes in the organizational maturity of subordinates. Thus, the changes in leadership which occur over time, represent the leader's attempt to change his behavior in response to his subordinates becoming organizationally mature. The leader's organizational maturity is expected to change very little in this situation.

In contrast, if the course of leadership development begins in Quadrant IV, a state of low leader organizational maturity and high subordinate organizational maturity, the direction of movement will be primarily vertical. This indicates that it is the leader's organizational maturity which is changing and producing the changes in the leadership process over time. If leadership development begins under the condition of low leader organizational maturity and low subordinate organizational maturity (Quadrant III), then the path to Quadrant I, or the state of high subordinate and leader organizational maturity, will require both vertical and horizontal movement. In other words, the development of the leadership process will be influenced by changes both in the subordinates' and leader's organizational maturity.

From the above discussion one can see why we have compared the developmental model of leadership to a topographical map. If you, as a leader, can assess the level of subordinate organizational maturity and your own organizational maturity, then you can use Figure 3-1 to specify your position as a leader. Not only can you determine your present position but you can also determine the developmental processes required to obtain the most effective group performance (Quadrant I).

FIGURE 3-1

The Organizational Maturity Context



Relationship of the Developmental Model of Leadership To Current Theories of Leadership

Before preceding further, it will be beneficial to examine the relationships of the developmental model and the concept of organizational maturity to the twelve theories of leadership we reviewed in Section II of the text. As already stated, the developmental model is more comprehensive than other current theories. The dimensions of organizational maturity are fundamental dimensions of leader behavior which underlie the leadership behaviors discussed by the twelve theories in Section II. We will now examine several concepts from current leadership theories and discuss their relevance to the developmental model of leadership.

Task Orientation vs. Person Orientation

If you closely examine the Path-Goal, McGregor, Managerial Grid, Contingency, and Situational theories of leadership, you will find that all of these approaches discuss some aspect of the leader's orientation toward persons (human relations) or the leader's concentration on the accomplishment of a task. McGregor's Theory-X and Theory-Y represent philosophical views of man with Theory-X suggesting that the leader must be task oriented and Theory-Y suggesting that the leader must be person, or human

relations, oriented. The contingency model of leadership discusses two personality orientations, one leading toward the enactment of task related behaviors under stress while the other yields person oriented behaviors under stress. The contingency theory introduces situational variables which affect the leadership effectiveness of individuals with each of these personality orientations. The path-goal theory assumes that leaders may display both types of orientations. The orientations are referred to as the leader behaviors of initiating structure and consideration. This theory then discusses the conditions under which each of these behaviors may lead to better subordinate performance and satisfaction. The path-goal theory suggests that the leader exhibit initiating structure when subordinates experience role ambiguity and consideration when they are performing well and experiencing no ambiguity. Managerial Grid theory takes a more simplistic view, stating that both types of behavior are needed for effective leadership. Finally, situational leadership theory suggests when in the life cycle of a work group, each of these leader orientations of initiating structure or consideration would be most beneficial.

All of the above issues are pertinent to, and in many cases, expanded within the developmental model of leadership. The human relations and communication dimensions of organizational maturity underlie a leader's

expression of consideration behavior. The leader's task-related or initiating structure behavior is influenced by the extent to which the leader possesses the underlying dimensions of technical competence and communication dimensions of organizational maturity. Without at least some minimal level of development on both of these dimensions, leaders would be unable to effectively reduce any task ambiguity for subordinates. According to the developmental model, situational variables are only one set of factors which affect the effectiveness of leader behavior. The model also examines the differential effectiveness of various leader behaviors over time as a function of both subordinates' and the leader's level of organizational maturity.

Leader Personality

The developmental model also incorporates Piedler's idea of different leader personality orientations by including of the concept of predispositional leadership styles. It is hypothesized that such a predispositional style of leadership is very important in early stages of leadership development. As the organizational maturity of the leader increases, reliance on the predispositional style diminishes.

Power

French and Raven's discussion of the five bases of power, social exchange theory, and McClelland's theory of power are all concerned with various forms of influence that a leader may use with subordinates. One of the dimensions of organizational maturity is the understanding of various types of power and influence used in an organization. Furthermore, the distinction between leadership and supervision made by Jacobs in social exchange theory underlies the developmental model of leadership. The discussion of informal power structures and the various bases of power possessed by different leaders in groups are also discussed by the developmental model. McClelland's concepts of \bar{s} -power and subordinates sharing the leader's power are considered in the developmental model. One of the basic theoretical propositions of the developmental model is that leadership is an organizational process and that subordinates should also display leadership behaviors. This aspect of the developmental model is also related to the ideas expressed in the four factor theory of leadership proposed by Bowers and Seashore (1966). These two authors view leadership as a group of functions which may be performed by other members of the group in addition to the individual in the officially sanctioned leadership position.

Subordinate Characteristics

The developmental model proposes that the interaction of the organizational maturity levels of the leader and subordinates is a critical factor in the leadership process. This is similar to Yukl's proposal that the effectiveness of a leader's behavior is influenced by subordinate characteristics. As you may remember, this same idea is incorporated in the path-goal theory.

Developmental Aspects of Leadership

The basic tenet of the developmental model of leadership is that leadership in formal organizations such as the U.S. Army is a developmental process. Therefore, the model encompasses those developmental concepts discussed in the social exchange, vertical dyad linkage, and situational leadership theories. These three theories concentrate on the development of individual leader-member and leader-group relations. The organizational maturity dimensions of communication, understanding power and influence, and understanding one's role in an organization are all relevant to the development of leader member relations as well as the human relations dimension. You will find that much of the discussion on the changes in leader-member relations over time is directly related to the issues and concepts discussed by these three theories.

Participative Leadership

The developmental model of leadership suggests that the processes of participative management and group decision-making are important when both leader and subordinates have high levels of organizational maturity. This aspect of the developmental model is consistent with the concepts of shared leadership expressed by McClelland and subordinate participation in decision-making described by Vroom.

From the above discussion, it is apparent that the developmental model of leadership is a comprehensive model and one that can easily incorporate the ideas discussed in the theories which you have already reviewed in Section II.

General Theoretical Propositions of the
Developmental Model of Leadership

The Interaction of Leader and Subordinate Organizational Maturity

The developmental model can provide more detailed information on how to become an effective leader than simply whether or not the leader, subordinate, or both must gain more organizational maturity. As we have already noted previously, the particular course of development of the leadership situation depends on the relative organizational maturity levels of the leader and the subordinates. For example, if you are a leader who is low in organizational maturity relative to your subordinates, then this will place certain constraints on the manner in which you can "lead" your subordinates. Consider what types of structuring behavior you could provide for your subordinates in this situation. Since your subordinates have a high level of organizational maturity, they are likely to be technically competent, understand their role in the organization and be familiar with its formal and informal structures.

Knowledge of the formal and informal structure may be critical to what one may call task competence. Task competence is distinct from technical competence and refers to knowing exactly how tasks are accomplished in a

particular organization. If subordinates know more about how to accomplish their job than the leader and feel less role ambiguity, then it is unlikely that the leader can reduce task or role ambiguity for the subordinates. Thus, the leader's initiating structure would not likely be effective in improving either the unit's effectiveness or leader-member relations. In contrast to this situation, consider what would happen if you were a leader who had already been in a particular organization for a long period of time and were put in the position of leading a group of individuals just entering the organization. This may occur, for example, when a business expands into a new office or plant. In this case, your subordinates would probably have a low level of organizational maturity. By providing structure for individual subordinates, you could reduce their level of ambiguity and this should increase their satisfaction. This higher level of subordinate satisfaction would likely lead to the development of better leader-member relations and improved performance of the work group.

Predispositional Leadership Styles

A leader who has relatively low organizational maturity may find that occupying a leadership position creates a great deal of stress. Furthermore, lacking the skills of a more organizationally mature leader, the new

leader may react to stress by resorting to what may be termed a "predispositional leadership style". That is, when placed in a stressful condition, the leader responds with an instinctive style of leadership. Interviews with hundreds of military officers, particularly newly commissioned lieutenants, seemed to indicate that two basic predispositional leadership styles exist. The first of these styles is to concentrate upon the task to be accomplished, ignoring interpersonal problems which exist between subordinates or the subordinates and leader. The second leadership style is that of concentrating upon the interpersonal and social needs of subordinates while ignoring the task at hand. These two leadership styles parallel those described by the contingency theory of leadership proposed by Fiedler (1964). The developmental model of leadership proposes that the more organizationally mature leader is less likely to resort to such predispositional styles of leadership. There are two reasons for this. First, as a leader's organizational maturity increases, the leader can control the organizational environment of his or her unit and thus decrease the chance of a stressful situation occurring. Second, when stressful situations are likely to occur, the more organizationally mature leader is likely to have the knowledge or organizational skills which will give him or her confidence that he or she can cope with the situation.

This greater confidence allows the leader to cope with such more difficult situations without perceiving them as stressful. Thus, increased organizational maturity leads to a higher threshold value for perceived stress. This in turn means that the more organizationally mature leader is likely to handle difficult situations in a logical manner, relying on his or her acquired technical, communication, and human relations skills with less reliance on an instinctive style of leadership.

As long as a leader is relying on a particular predispositional leadership style, he or she will lack the flexibility which may be needed to handle stressful situations. For example, a new lieutenant whose unit is performing poorly is told by the battalion commander that rapid improvement is needed immediately. Under these conditions, you as a new lieutenant are very likely to feel stressed. If you have a predisposition to act in a task related fashion, this will improve your unit's performance only if the factors causing the poor performance are due to a lack of structure. However, if you concentrate on task related behavior when the poor performance is due to interpersonal conflicts between your subordinates or between you and your subordinates, then you might actually aggravate rather than alleviate the problem.

If you were a more organizationally mature leader in this situation, you would probably feel pressured but not

stressed. Furthermore, you may have already begun putting some of your skills to work. For example, you may have already started establishing communication channels to provide you with feedback concerning what your NCOs and company commander or other lieutenants know about the situation. These same communication channels could provide you with information needed to assess the informal organizational structures and identify which of your subordinates possess a great deal of influence within your platoon. Knowledge of the informal structure which exists in your platoon may provide you with clues as to how the problem may be solved. The possession of these leadership skills would give you better control over the situation. Thus you should perceive it as less stressful. Perhaps the first thing a leader with low organizational maturity should do is to concentrate upon acquiring the skills and knowledge which comprise the six dimensions of organizational maturity. Given what is known about the interrelationships between the six dimensions, the first step would be to concentrate upon developing communication and human relations skills. The leader should first attempt to establish good communication with his or her superiors, peers, and subordinates. Only through these communication channels will the leader be able to gain the information needed to become more organizationally mature with respect to the dimensions of: knowledge of formal and informal

structure, the understanding of his or her role within the organization, and the types of power or influence which are acceptable or practiced within that organization.

The Influence of Subordinates' Level of Organizational Maturity

Up to this point, our discussion has been directed toward the organizational maturity and development of the leader. Let us now turn to what the developmental model proposes concerning the development of organizational maturity of subordinates. Just as a leader should perform more effectively with greater organizational maturity, so should a subordinate. Nevertheless, some differences do exist. A leader must first concentrate on the development of both speaking and listening communication skills whereas subordinates must initially develop their technical competence, and to a certain degree, their listening skills. That is, in order to perform effectively and to retain their jobs, most workers at the non-supervisory level must first learn the technical skills required to perform their job and learn to pay attention to the instructions given by their supervisors. However, if a worker is to make any major advancements or if the organizational effectiveness of a group is to improve beyond a minimal level, subordinates must also continue to develop other skills. Indeed, as the subordinates develop communication skills, human relations

skills, and an understanding of different types of influence and power, they may begin to perform some of the leadership functions carried out by the officially sanctioned leader of the group. This is one of the reasons the developmental model defines leadership as an organizational process. The leadership functions in a work group can, and should be, performed by both the leader and subordinates. This is especially true for subordinates who are high in organizational maturity. This is best exemplified in the Army with its NCO structure which parallels the structure of the Officer Corps. In the platoon, the lieutenant is the "official", or formal, leader of the unit. However, many of the leadership functions which the lieutenant normally displays in the platoon are performed by the Non-Commissioned Officers when the lieutenant is absent. In general, these Non-Commissioned Officers often have the highest levels of organizational maturity in the unit.

The Non-Commissioned Officers who perform some of the leadership functions in the unit will make the lieutenant's job easier if the lieutenant and the NCO both lead the unit toward accomplishment of the same set of organizational goals. If the lieutenant and NCO are working toward different goals, then the NCO with his high level of organizational maturity and influence within the unit, may cause numerous problems for the lieutenant.

In order to avoid the problem of a subordinate high in

organizational maturity leading the group in a direction counter to the goals of the formally sanctioned leader, the leader who is high in organizational maturity will often include these subordinates as part of his or her "in" group. If a leader does not realize the potential influence of subordinates with high levels of organizational maturity, then he or she may fail to consult with these individuals. As a consequence of this neglect, these subordinates may feel isolated and adopt goals counter to those of the leader. If you think about your own experiences as a leader and the followers who you have included in your "in" group, you will probably remember them as being the most dependable and effective members of your group. They probably knew how to do their job, who to see to get their tasks accomplished if problems arose, and had some influence over other members of the group even before you included them in your "in" group. An organizationally mature leader can often identify these individuals quickly and move to take them into his confidence so as to make sure that they are working with him, not against him. For a leader with low organizational maturity, it may be even more critical that he or she be able to include these subordinates among his or her "in" group members. Until the leader becomes more organizationally mature, those subordinates with high levels of organizational maturity may yield as much or more influence over the other members of the group.

The Distinction Between Supervision and Leadership

When the leader initially enters a work group, supervision of subordinates is possible due to the formal authority that is granted by the organization. This process of supervision is not the same as the leadership process in which there exists influence without reliance upon rank or formal authority. Supervision can occur at either the leader-individual or leader-group level of interaction, but the leadership process is based primarily upon leader-member dyadic relationships. This means that true leadership can not occur until the leader and group have been together long enough for the establishment of effective communication between individual subordinates and the leader. This principle holds true regardless of the level of organizational maturity of the leader and the subordinates. If you recall Jacob's discussion of the social exchange process you will remember that he makes a distinction between supervision and leadership. The developmental model of leadership maintains this distinction. Think about your own experiences as a leader or a follower. Have you ever held a job in which you worked when the boss was there but slacked off in working when he or she was gone? Have you ever been in a group where the only way the leader could control the group or accomplish a goal was to threaten group members with whatever punishment his position allowed him to deliver? Have you been in a group where the leader

constantly "pulled rank" to make sure that his decisions were the decisions agreed upon or followed? These are examples of situations which are likely to develop when the "leader" of a work group relies upon the process of supervision rather than leadership. As you think about it, "leading" a group by supervision does not require any two way communication or any knowledge of the subordinates as individuals. Since the leader is relying upon the authority granted by the organization, he or she can issue an order and the group as a whole must respond. However, think about a leader you have known who relied solely upon this supervisory process. Did you respect him or her? What happened when they were not physically present and could not possibly find out why a task was not completed? Is this the type leader you would follow into combat and entrust to safeguard your welfare or your life? If your answer to any of these questions was "no", the most probable reason is that such a "leader" did not use a leadership approach. If one is effectively using the leadership process, then each subordinate should feel that the leader cares about him or her as an individual. It is from this bond at the dyadic level of interaction that a relationship of mutual trust and respect will develop. It is from this dyadic relationship, even if it is only a primarily perceived rather than an actual relationship, that a leader gains the commitment of the subordinates. esprit de corps, one often finds

subordinates performing many leadership functions. Within these units, members with high levels of expertise and organizational maturity command a large degree of respect and influence. These subordinate leaders stand at the top of a group structure which is based upon ability, rather than formal rank. Such a highly cohesive group may also set standards for group performance which far surpass the normally accepted standards required by the organization. The high standards are directed at accomplishing goals set by that unit, such as being the best platoon in the company or battalion. Furthermore, if a member of the group violates the group norms, it is not the formally sanctioned leader who would take action, rather the members of the informal group structure will attempt to change the individual's behavior through peer pressure. These factors will also influence the leadership process.

The above discussion should make you realize that the development of effective leadership in a work group requires that the leader and subordinate(s) work together for at least some minimum period of time. The minimum time required for the development of group maturity will be influenced by the initial levels of organizational maturity of the leader and subordinates. When the leader and subordinates have high levels of organizational maturity, the lack of a need for individual development facilitates the development of group maturity. When the leader and/or

subordinates have low levels of organizational maturity, then the need for individual development retards the development of group maturity.

Leadership and the Organizational Environment. Keep in mind that the development of the leadership process which occurs within a small organizational unit does not occur in a vacuum. Rather, all of these actions take place within a much larger organizational environment which has numerous influences on the development of the leadership process. For example, leaders of the small work groups are likely to have goals and tasks imposed upon them from higher levels in the organization. Changes in technology, social values, and the political situation, within and outside of the organization, will ultimately influence the functioning of many work units existing in large organizations, particularly the military. These changes may come about through the assignment of new tasks, reduction in the manpower available to complete a task, or the introduction of new equipment and processes to complete the work. All of these factors will influence the micro-environment of the work group and, therefore, demand some changes in the leadership process. The developmental model of leadership does not ignore or deny the existence of these changes, however, they are outside the primary area of focus of the developmental model. The effects of these variables are acknowledged by the authors, and readers should be aware

that they will influence the situation in which a leader functions.

As you read the next four units in this section of the text, it should be remembered that the changes in leadership which occur over time will be a function of the maturation of the leader, subordinates, the group as a whole, or any combination of these three processes. The first avenue of leadership development discussed is that which is expected to occur when a leader has a high level of organizational maturity and subordinates have low levels of organizational maturity.

The Leadership Process with Leaders High in Organizational
Maturity and Subordinates Low in Organizational Maturity

This chapter is concerned with leaders who possess high levels of organizational maturity; i.e., leaders who have previous leadership experience within the same or similar organizations. In addition to having technical competence, this individual most likely possesses knowledge of the informal organizational structure and procedures used to complete a task. Furthermore, this leader would have the communication skills and knowledge of subordinates' needs and values which are required to understand how to motivate these individuals. One example of this type of leader in the U.S. Army is the typical platoon sergeant. The platoon sergeant typically has many years of experience in the Army and hundreds of hours of technical training. The platoon sergeant usually knows the platoon members individually and is well aware of their needs and problems. Furthermore, this NCO is usually knowledgeable with respect to the informal structure and procedures useful in accomplishing a particular goal.

As you read this section, it may seem that the leader plays a rather passive role in the development of the leadership process over time. Actually, a leader has sole control over what particular leadership behaviors are to be displayed at any point in time. However, changes in the

subordinates' organizational maturity over time would be a critical variable influencing the effectiveness of leader behavior. An effective leader should take this factor into account and change his or her behavior accordingly. When a leader has a higher level of organizational maturity than his or her subordinates, the leadership process may be expected to follow a path similar to that postulated by Hersey and Blanchard's (1969) situational theory of leadership. That is, since the subordinates have a relatively low level of organizational maturity, they might not be expected to initially perform their tasks without proper guidance from their leader. To a large extent, the leader of a group of inexperienced subordinates must concentrate primarily on task-related behaviors. Thus, to the extent that the leaders can reduce task and work role ambiguity for their subordinates, subordinates should increase their production and be more satisfied. The leader's greater organizational maturity should allow the leader to provide the needed structuring behavior. Moreover, a leader who is high in organizational maturity would recognize that one cannot completely ignore the personal needs of subordinates. Learning how to perform a new task and becoming oriented to a new organization can at times be quite frustrating. This will be particularly true if there is pressure from superiors within the organization for more rapid transition to greater production. The

communication skills and understanding of subordinate goals and values developed as a result of past leadership experience would enable the leader to also provide the supportive and consideration behavior which is expected by subordinates.

Leader-Subordinate Relationships

Initially, the mature leader may interact with each subordinate in the same manner. At the initial point of contact between the leader and the work group, all possible leader-member dyadic relationships are of the same quality and essentially nonexistent. At this point in time, the organizationally mature leader can only exert influence due to his or her authority as appointed leader. However, this would be expected only when the work group is new and has no informal or formal group structure or informal leaders with an appreciable amount of power. If there were a chance that informal leaders might exist, the organizationally mature leader would probably identify these individuals. Once these individuals were identified, the leader would interact with them differently than with other subordinates who have no leadership influence.

Leaders who are high in organizational maturity would be expected to immediately begin establishing communication channels which would allow them to assess the situation in which they are working. To this end, the leaders would be

expected to initiate open communications with their superiors, peers, and subordinates. From his or her superiors the leader is able to obtain information regarding the goals which the unit is expected to accomplish. From contacts with subordinates, the leader would obtain information about the performance of individual subordinates. This information will enable the leader to determine the degree of responsibility which could be assumed by different members of the unit. As time passes and the leader becomes more acquainted with the subordinates as individuals, differences in the quality of the leader-member relationships will develop. This process would occur faster with a leader who is high in organizational maturity than with a leader who is low in organizational maturity.

One factor which may influence the manner in which a leader treats subordinates is the subordinate's level of organizational maturity. Those subordinates who quickly integrate themselves into the organization can assume greater responsibility for accomplishing unit goals. Given these subordinates' greater understanding of the task and organizational procedures, the leader may perceive that he can trust the subordinates to assume more responsibility than a subordinate who does not understand how to function effectively within the organization. Thus, the subordinate's behavior will be one factor influencing whether the leader-member relationship will be one of

supervision and influence based on formal authority rather than a relationship based upon trust and a mutual commitment to the accomplishment of the unit's goals. As overall subordinate organizational maturity increases, an increasingly larger number of the leader-member dyads are likely to be characterized by mutual exchange relationships rather than supervision.

As noted, a direct implication from the developmental model is that neither the development of leader-member dyads nor the changes in leader structuring and supportive behavior are solely a function of the leader, per se. Instead, it is assumed that the organizationally mature leader's behavior will change in response to changes in the subordinates' behaviors. As subordinates increase the level of their organizational maturity, they will probably not respond as readily to the leader initiating structure as they did when their level of organizational maturity was low and they were experiencing role ambiguity. At this point, if the leader still attempts to lead these subordinates by emphasizing task related behavior and trying to tell them how to do their jobs, problems may develop. These dyads in which the subordinates have reached a high level of organizational maturity are now in a state in which the optimal leader-member relationship should be different from that of a leader providing guidance to an inexperienced, naive subordinate.

Differences in Subordinates' Levels of Organizational Maturity

Before discussing the leadership process in situations in which both the leader and subordinates have a high level of organizational maturity, two important points must be noted. First, while the work group as a whole increases in maturity, the leader high in organizational maturity will realize that not all subordinates will obtain a high level of organizational maturity. The leader will also recognize that of those subordinates who reach a high level of organizational maturity, not all will do so at the same rate. Therefore, the leader's behavior towards different subordinates should not be the same. This is necessary because subordinates with different levels of organizational maturity will react differently to the same leader behavior. In established work groups, these differences in subordinate organizational maturity are often reflected in subordinates' positions in the normal group structure. In newly formed work groups, such formal organizational structures will not yet be established. A leader must recognize that this is a very delicate situation since subordinates who require closer supervision and less freedom may feel that they are being discriminated against and treated inequitably. Leaders are more likely to share decision making with subordinates who demonstrate high levels of organizational maturity and are members of the leader's "in" group. While

this would at first seem an effective strategy, such a move may be potentially self-defeating. That is, if a few selected subordinates are openly allowed to participate in the decision-making process for problems whose outcome will affect all subordinates, then substantial resistance among the "out" group members may develop. Furthermore, it is likely that an informal leader with a great deal of influence among "out" group members could emerge in this situation.

A mature leader would recognize this problem and avoid it in one of two ways. First, the leader might consult with "in" group members but take sole responsibility for decisions. The second solution to this problem is to delegate authority and share the decision-making process according to formal organizational procedures. This leads to the development of a formal organizational structure which includes positions such as those of assistant manager or line supervisor. The leader can then promote the more reliable and experienced subordinates into those positions. In the military organization, the NCOs represent these formally sanctioned subordinate leaders. A lieutenant can benefit from these formally sanctioned NCO leaders by delegating authority to them and including them among his "in" group of subordinates. The lieutenant may also benefit from the same structure by being able to promote reliable subordinates into these formally sanctioned subordinate

leadership positions. As the organizational unit approaches the state in which most of the members have high levels of organizational maturity, these issues may become less of a problem and more group decision-making procedures can be used.

Leadership Within the Larger Organizational Context

The reader should not gain the impression that leadership effectiveness and organizational maturity can only increase with the passage of time. Even in work groups with a mature and effective leader there is the possibility of setbacks occurring. Hersey and Blanchard (1969) note that a group's productivity may decrease even after reaching a mature state. A number of variables will influence and sometimes might even reverse the progress of effective leadership development. Within the group, variables such as the task difficulty, task structure, and subordinate and leader personality characteristics will always moderate the leadership process. However, given the larger organizational environment in which the group exists, a number of outside forces may also affect the leadership process. If, for example, a work group is assigned a task which is unfamiliar, then the effectiveness of the work performance of the subordinates, and possibly the leader, will be reduced. In this case, the leader must change his behavior accordingly, perhaps by providing more structure to

reduce the ambiguity of the task. A second type of outside influence may be pressure from superiors to reduce the size of the work group and maintain or even increase standard production rates. These factors will necessitate a change in leader behavior and set in motion a cyclic process of changes in subordinate and leader behavior which should lead ultimately to a new stable leader-member relationship and acceptable levels of production and worker satisfaction.

As we have noted, effective communication between the leader and subordinates is a primary factor underlying the success of the leadership process. Unless the leader is able to tell subordinates exactly what is to be done in language which they understand and is also able to listen and respond to the needs and problems of subordinates, then successful leadership would be next to impossible.

Thus, many factors will affect the attainment or stability of a leadership situation in which leaders and subordinates both have high levels of organizational maturity. The leadership process which will be most effective in this situation will be the next topic of discussion.

The Leadership Process with Leaders High in Organizational Maturity and Subordinates High in Organizational Maturity

The leadership context in which both leader and subordinates possess high levels of organizational maturity represents the ideal leadership situation. In this situation, the leader and subordinates are assumed to interact in a manner directed at maintaining a stable state of satisfactory group performance and acceptable levels of worker satisfaction. The leader will share decision-making responsibilities with his or her subordinates where appropriate and particularly with "in" group members who may perform certain leadership functions in the work group. The situation is not static, however, due to the fact that many outside forces will disturb this state of equilibrium. Some of these forces such as the influx of a large number of new recruits into a platoon may radically alter the organizational environment to such an extent that a new leadership development process must occur in order to maintain satisfactory performance. Other changes, such as a change in the performance of a single subordinate, may change the individual leader-member relationship but not radically alter the overall leadership process. For example, if a single subordinate's performance drops and the individual no longer acts in a responsible fashion, then the leader may need to begin strictly supervising the

individual. This may mean providing more structure or counseling the soldier for personal problems such as alcohol or drug abuse. However this will not alter the more general leadership process in the group, which may be characterized by delegation of authority to key subordinates and shared decision-making.

Variables Affecting the Development of the Leadership Process

If a person high in organizational maturity becomes the newly appointed leader of a group of subordinates with high levels of organizational maturity, then the development of the leadership process will depend on variables such as the current group performance, and the personality compatibility of the leader and subordinates. For example, if the group performance is low, then the leader may initially concentrate upon increasing the motivation of the subordinates by means of participative decision-making. This may depend in part on the personality of the leader. If the leader does not trust people in general, then he or she may be reluctant to share decision-making until the group performance begins to improve. This type of leader may attempt to improve group performance by restructuring or reassigning tasks. Given his or her high level of organizational maturity, it is unlikely that this leader will attempt changing the group before establishing

communication channels and gaining information about the group's past and current performance, structure, and problems. However, the mature leader will be able to begin leading rather than supervising in a much shorter period of time than a leader low in organizational maturity. The mature leader's past experience with informal group structures, subordinate leaders, and his or her communication skills, will enable the leader to avoid alienating subordinate leaders.

Participative Leadership

Given that the levels of organizational maturity of subordinates and the leader are comparable, a leader's reliance upon task-related behavior would probably fail to motivate subordinates. Subordinates who are high in organizational maturity would not experience a great deal of role or task ambiguity and therefore would require less job or task structure information from a leader. Instead, such subordinates would be more receptive to leadership practices such as shared decision-making and supportive leadership behavior.

Nevertheless, the leader should provide some structure in terms of the interpretation of information which is transmitted from superiors in the organization. However, in this type of leadership situation, decisions which concern subordinate organizational goals would best be made through

participative decision-making. Indeed, it is at this stage in the development of the organizational leadership process that subordinates will perform many complimentary leadership functions. Thus, the leader may choose to use participative management techniques such as "Management by Objectives"; i.e., goal setting by the subordinates with assistance from the leader. This style of leadership presumes that the subordinate is highly motivated and responsible, characteristics which would be expected if the subordinate is high in organizational maturity.

Above, we discussed the leadership process as it should develop in situations with a leader high in organizational maturity. As a student just beginning his study of leadership, these are situations you will not encounter until later in your development as a leader. Your first assignment as an officer will place you in a leadership situation which initially falls into one of the lower two quadrants in Figure 3-1 (Quadrant III or IV). That is, in your first assignment you will enter the Army as a leader who is relatively low in organizational maturity. We will now turn to a discussion of the leadership processes expected to develop in these situations.

The Leadership Process with Leaders Low in Organizational Maturity and Subordinates High in Organizational Maturity

Quite often, leaders low in organizational maturity may take charge of a group of subordinates who are relatively high in organizational maturity. This represents the case of the entry of a newly commissioned officer into the U.S. Army or a young junior executive into the business field. The leadership process in this situation may be expected to develop in a different manner than the leadership process with leaders who are high in organizational maturity. What exactly is meant when we speak of a leader low in organizational maturity? A leader may have a great deal of technical competence but still be low in organizational maturity. Likewise, such a leader may be very knowledgeable of the formal structure of an organization as it appears on an organizational chart but still be unable to lead subordinates. What then does the leader low in organizational maturity lack? In addition to the above two possible areas, a leader low in organizational maturity is likely to lack knowledge of the informal structure of the organization (including the actual procedures needed to accomplish a task in that particular unit), effective organizational communication skills, and an understanding of the goals and needs of his subordinates. These are all skills which will be gained primarily through

experience.

Leaders who lack development of the above skills will be unable to reduce task and role ambiguity of subordinates. Thus, unlike the situation with leaders high in organizational maturity, these less experienced leaders will be limited in their ability to use task related or task structuring behavior to motivate their subordinates. In order to restructure a subordinate's task effectively, the leader must know the resources available in that particular organization. Likewise, the leader must have knowledge of the paths available in that organization for the subordinates to attain their personal goals. This information will be gained primarily from the leader's experience in that particular organization.

Leaders who are high in organizational maturity obtain information from upper organizational levels, interpret this information, and assign tasks to subordinates. Leaders who are low in organizational maturity should initially strive simply toward the accurate transmission of information from superiors to key subordinates, such as the platoon sergeant and squad leaders. These subordinates who are high in organizational maturity are capable of assisting the leader in the interpretation of this information. Furthermore, until the leader gains a thorough knowledge of his or her unit's capabilities, procedures, and resources of the organization, the help of these subordinates will be

instrumental in aiding the leader's decision-making. Except for formal authority, a new leader may have little influence over group members. The key subordinates, on the other hand, know the group members as individuals and may have a great deal more direct influence on the group. Thus, it is important that any leader who is low in organizational maturity should respect and make full use of the formal supervisory structure which exists under his command. This is one reason why newly commissioned lieutenants are constantly told to use the NCO chain of command which exists within their platoons.

Development of the Leadership Process

The first step in leadership development for a leader who is low in organizational maturity is the establishment of communication links with superiors, peers, and key subordinates. This will provide access to information which will allow the leader to gain knowledge of the subtleties of the organization. At the same time, it will put the leader in the position of being able to provide some structure for the group. Therefore, the leader will gain some influence as an important part of the unit by virtue of the information he or she has coming from upper organizational levels.

Subordinates who have high levels of organizational maturity and are in the higher positions of the formal and

informal group structures may be able to perform many of the leadership functions needed to maintain group performance until the appointed leader has become oriented in the organization. For example, the platoon sergeant and squad leaders within the platoon are likely to initially perform some of the leader's duties. The newly commissioned platoon leader will assume these duties once he or she has established the proper communication channels, learned about the group structures which exist in the unit, and becomes familiar with the tasks his or her platoon is expected to perform. Until this point in time, the appointed leader may influence the subordinates through the supervision process and reliance on formal authority but "leadership" without reliance on this formal authority is not yet possible.

Premature leadership. The new leader may attempt to "lead" the subordinates before developing adequate organizational maturity and thus, display what may be called "premature leadership". These premature leadership attempts are most likely to occur when the leader feels pressured or when the group's performance is low and the situation is perceived to be stressful. Unable to respond on the basis of past experience, the leader is likely to act in a "predisposed" manner. Thus, a basically task oriented leader may attempt to provide a large degree of task structure for subordinates. Given the leader's lack of task competence, it is likely that the attempts to structure the

subordinates' task will not be helpful and will be resisted by the subordinates. As a consequence, there is likely to be even more stress and more attempts at providing task related behavior. In contrast to these reactions, a person-oriented leader placed in the same situation may react by being overly considerate toward subordinates and by seeking approval and acceptance from subordinates. Since the leader and subordinates would not have had sufficient interaction, the leader's attempts at being considerate or supportive may be misinterpreted. One possible consequence might be that subordinates would have the impression that the leader was a "phony" and should be viewed with suspicion. Such an attitude, if adopted by the subordinates, could inhibit the needed establishment of open communications between leader and subordinates.

Given either of the above leadership styles, one might expect that the leader's use of subordinates in the decisionmaking process would also be inappropriate. High task oriented leaders might attempt to make decisions without information from subordinates, although subordinates could very well have vast amounts of information which could be critical to effective decision-making. In contrast to this, the person-oriented leader would include subordinates in all aspects of the decision-making process in an indiscriminate manner. This latter action could serve to undermine the authority of the leader's first line

supervisors who have authority over the subordinates. A leader, who is striving for acceptance by subordinates, may make excessive attempts to be overly friendly and gain affiliation with these subordinates. As a consequence, the first line supervisors may perceive that they are losing their authority. Until communication channels have been established and the leader knows the capabilities of each subordinate, the leader will not have the information needed to accurately judge when a subordinate should be included in the decision-making process.

Expectations of the leader. An additional problem facing the leader low in organizational maturity may be unrealistic expectations about his or her role in the organization, or the type of subordinates with whom he or she will work. For example, a new management trainee or newly commissioned officer is likely to have spent several years in a college environment. These leaders may not fully realize that the subordinates they will be leading will have a very different educational and cultural background from their college peers. Likewise, a newly appointed leader may assume that he or she has such more authority over the subordinates than he or she actually is free to exercise. Any attempts at leadership based upon these preconceived notions about one's authority or subordinates will constitute premature leadership attempts which will probably be ineffective. Many of these unrealistic expectations such

as the extent of one's authority, may lead to frustration and stress as the leader learns the reality of the situation. Such frustration or stress is likely to add to an already stressful situation and further hinder progress toward the development of organizational maturity.

As communication channels are established, the leader will begin to realize the problems created by his or her false expectations and premature attempts at leadership. An effective leader will take a critical view of his or her role and act cautiously in the leadership position until gaining the organizational maturity needed to effectively lead the group. Thus, the most effective leadership strategy for new leaders to adopt would be to first concentrate on increasing their own organizational maturity. This should be done before the leader attempts to make changes in the group or influence the group members with his or her leadership capabilities. Such a strategy will mean that the leader must concentrate on developing both vertical and horizontal communication channels. In addition, the leader must increase his or her technical competence and task competence. While the former may be learned through methods such as reading technical manuals, the latter must be learned through observing how tasks are actually accomplished in the organization in which the leader is working.

Understanding subordinates. The first steps in

achieving organizational maturity are the development of organizational communication skills and the acquisition of knowledge concerning the informal organizational structure and task procedures. The acquisition of these qualities will allow the leader to supervise subordinates more effectively but not necessarily lead them. The final step in achieving the organizational maturity needed to lead involves development in the area of human relations skills. The leader must learn enough about his followers as individuals so as to understand how to motivate and satisfy them. While the more organizationally mature leader must learn about the individual needs of subordinates, the leader low in organizational maturity must first come to understand the general values and goals held by the subordinates. The leader must first examine his or her own beliefs and values in order to identify personal biases which may interfere in the understanding of, and communicating with, subordinates. Why does the leader low in organizational maturity need to do this? Because often the cultural background of the subordinates will be quite different from that of the leader and peers with whom the leader has interacted in the past. Leaders may at first not understand that factors which motivate them and their college peers will often fail to motivate subordinates with a different cultural background.

As the leader gains both a general understanding of the

subordinates and knowledge of the organization, the potential for effectively leading rather than supervising subordinates will increase. Assuming the leader has adequate technical competence, the leader's attempts at structuring subordinate's tasks will now lead to improved performance. Likewise, the leader's consideration and supportive behavior will be more commensurate with the subordinates' needs and have a positive effect on their job satisfaction and motivation. Once the leader has developed this level of organizational maturity, the leadership process described for a situation with both leader and subordinates high in organizational maturity will likely be more effective.

Group Structure

The question of the development of different leader-member dyads for the situation in which a new leader enters an organizationally mature work group raises some interesting issues. A mature work group should have evolved both formal and informal group structure and certain organizational leadership functions should be performed by the subordinates themselves. In a sense, "in" and "out" groups may already exist as a function of self-selection by group members or as a function of the structure created by the previous leader. A new leader must identify the existence of such sub-groups. Without this awareness, a

leader would be unable to use the group structure to help achieve organizational goals, although its very existence will affect his or her attempts to lead. For example, a group of workers or soldiers may have divided themselves into sub-groups of two or more members who operate very effectively as teams. Each of these sub-groups may have a member who acts either officially or unofficially as the team leader. In this case, the most effective leadership strategy for the formal leader of the unit would be to work with the sub-group leaders who would then influence their sub-group members. If the formally sanctioned leader ignores the existence of these sub-groups and their leaders, he or she may alienate these sub-group leaders and form work teams which function poorly. If the leader can identify subordinate leaders and include them in his or her own "in" group, then his or her functioning as a leader will likely become an easier task. If, however, the leader develops an "out" group relationship with one of the subordinate leaders, problems may develop. Therefore, the nature of the leader-individual group member relationships which evolve in this context is even more critical to the effectiveness of the leadership process than when an experienced leader enters the group. Once the leader gains a high level of organizational maturity and can influence the formal and informal structures of the group, then some "in" group members may become "out" group members or vice-versa without

a decrease in the units' effectiveness.

The Leadership Process with Leaders Low in Organizational Maturity and Subordinates Low in Organizational Maturity

Most organizations try to avoid the circumstance in which both the leader and subordinates have a low level of organizational maturity. However, some forms of this situation do occur. For example, a work group may be assigned a task which is unfamiliar to both the leader and subordinates. If both leader and subordinates do not know what resources are available to their group or how to obtain these resources, then the ability of the group to function may be impaired greatly. When a newly commissioned lieutenant enters a platoon in which the NCOs have just been promoted or transferred from a different branch such as from infantry to armor, then the leader and the key subordinates with whom the leader must interact are both low in organizational maturity. In this case, both the leader and subordinates are likely to experience role ambiguity and a lack of confidence in accomplishing the goals of the unit. Neither the new lieutenant nor the NCOs are likely to know exactly what their job entails. They will be of little benefit to each other in solving the dilemma since neither has the skills and knowledge needed to provide structure for the other. Such a situation is likely to produce the most stressful and demanding leadership setting an individual may face. Since key subordinates in the group are lacking in

their ability to lead the group until the leader can orient himself in the organization, the leader must take command to provide guidance for the group. If the leader does not do this, the lower level subordinates will detect the lack of leadership from either the NCO or the lieutenant and react in an adverse manner. For instance, morale may suffer, the subordinates may lose their motivation, and group performance may drop.

Reliance on Formal Authority

When leaders are forced to take command without the establishment of necessary communication links, the knowledge about informal structures in the organization, or having the sufficient time to learn about their subordinates as individuals, then they will be forced to rely almost exclusively on their formal authority and the organizational rewards and punishments at their disposal. To the extent that training provides technical competence, the leader can rely partially upon technical expertise to influence subordinates. However, without this technical knowledge, the leader may not be able to adequately evaluate the performance of subordinates or even provide them with work guidance. In this case, the leader may have to spend long hours of study so that technical skills may be attained as soon as possible. Under the above condition, the leader may be exposed to personal stress and may resort to a

predispositional leadership style. Thus, it is possible that the human relations needs of the group, or even the need for task related guidance, may be ignored.

Outside Sources of Information

In this situation, the leader must rely heavily on sources outside of his or her own unit to provide information related to resources and informal structures that exist in the organization. For this reason, it is critical that the leader immediately establish communications with his or her superiors and peers. The relationship that the leader develops with key subordinates, who are also in the process of orienting themselves, should reflect a mutual effort toward a common goal. Since these key subordinates will have more interactions with lower level subordinates, they can provide the leader with information that the leader would not have time to obtain on his or her own. In exchange for this information from the lower organizational levels, the leader should accurately inform key subordinates of all relevant information from the upper organizational levels. The leader can gain this information through contacts with peers, superiors, or even subordinates who are high in organizational maturity and are in other work units. The leader should also expend the time to carefully explain the tasks that the group is to perform, express his expectations

of the role of the key subordinates in completing these tasks, and answer any questions these subordinate supervisors may ask. If the subordinate supervisors were high in organizational maturity, a leader could depend upon them to help interpret information coming from the upper organizational levels and aid in deciding how tasks should be accomplished. Instead, given the subordinates' low levels of organizational maturity, the leader will have to be the interpreter of the information and also structure the tasks for the subordinates.

In this situation, the new leader must take full command before he or she has established the optimal communication networks or acquired a complete working knowledge of the organization. Furthermore, the leader is unable to rely upon key subordinates for help; rather, these very subordinates will be looking towards the leader for guidance. This means that the leader must react quickly to a demanding situation. As a consequence, it is likely that the leader would make more mistakes, experience more frustration, and feel more stressed than if he or she had entered a group with experienced subordinate supervisors. Despite these problems, the leader must still master the leadership skills which were discussed previously. The order in which these skills can be developed will not change in this situation. Only the rate at which these skills are acquired may be increased. Furthermore, there are limits to

the control that a leader has in reducing the time needed to gain the threshold level of organizational maturity needed to lead effectively. A leader may concentrate on learning technical skills and attempt to immediately establish communication channels. However, the time required to gain subordinates' trust and acceptance will be a function of many variables which may be beyond the control of the leader.

As we conclude our presentation of the developmental model of leadership in its general form, keep in mind that the model views leadership as an organizational process. To discuss the leadership process outside of a particular organizational context may produce a great deal of ambiguity. Any particular organization has characteristics which place certain constraints on the manner in which the leadership process will develop. As an organization, the U.S. Army sets a number of requirements which are important moderators of the military leadership process. We will now turn to a more specific discussion of leadership in the United States Army.

The Organizational Environment and Leadership
Requirements of the United States Army

Authority

Like any other organization, the goals and formal structure of the U.S. Army create an organizational environment which places particular requirements upon a leader's behavior. It is this organizational environment which makes the Army officer's role as a leader different from that of leaders in civilian organizations. While there are a number of similarities between the two roles, as an Army officer, you are likely to have more authority over subordinates than a leader in a civilian setting. Your soldiers are on call 24 hours a day. While soldiers normally do not work a full 24 hours, during times of war or during field training exercises, these individuals are always on duty and under your direct authority. In addition to having authority over your soldiers for more extended periods of time than civilian leaders, the extent of your authority, when you do exercise it, is also much greater. When a soldier enters the Army, he or she agrees to obey an extensive set of rules and regulations. This set of rules and regulations gives you the power to issue numerous orders to your soldiers, and it is their duty to carry out these orders to the best of their ability. If soldiers refuse to respond to these orders, the disciplinary actions which you

may take or recommend will have more serious consequences than actions which may be taken in a civilian position. In a civilian job, the ultimate limit of your authority would be to fire a subordinate. As a lieutenant in the Army, the disciplinary actions you recommend could ultimately result in a soldier being confined to a correctional facility or a dishonorable discharge, which would remain permanently on the record of the subordinate.

Responsibility

The greater degree of authority granted to an Army officer is also accompanied by a greater degree of responsibility. A civilian manager's responsibility for his or her subordinates is usually limited to the time they spend on the job. As a platoon leader, you will find yourself not only responsible for your soldiers' behavior at work but also for their behavior off-base. If one of your soldiers is involved in an altercation off-base, you will not only be notified of the problem, but will often be expected to take necessary actions to correct the situation. One possible reason for the degree of responsibility you must assume for a soldier's behavior, is that whether the soldier volunteered or was drafted, he or she is expected to remain in the Army for a minimum specified time period. Thus, you do not have available the option of simply firing a trouble-making employee. Rather, you are expected to work

with the soldiers and help them solve both job related, and to a certain extent, personal problems. While it is possible to have a soldier discharged from the Army, it is not within your authority as a lieutenant to take this action. You may begin the actions which lead to the discharge, but to do this will require a well documented and extensive case. This evidence must indicate that despite numerous attempts to correct a soldier's actions, the soldier cannot or will not perform appropriately. The paperwork and time required to prepare such a case place a constraint on your options in handling a difficult subordinate.

Just as your soldiers must obey your orders, so must you obey the orders from your commanding officer, even if you do not fully understand or agree with their intent or possible consequences. As an officer in the Army, you are expected to set a good example for your troops. Thus, your behavior on and off base is expected to reflect the high moral and ethical standards of an officer in the U.S. Army.

Other factors in the Army setting also make the military leadership process unique. The great number of rules and regulations and the formalized leadership structure prevent the use of certain leadership techniques such as group problem solving. The very short time spans available for decision-making during combat will make any type of participative management impractical. The level of

stress which may arise in military leadership situations is another factor which distinguishes the officer's role from that of a civilian leader. For example, the combat situation for which all Army leaders must be prepared is characterized by levels of stress seldom approached in any non-military setting. During combat you will have almost absolute authority and responsibility for your troops. Your decisions and orders must be carried-out without delay or question since the success of the mission is often dependent on the speed of a unit's actions. This high stress situation for which Army leaders are trained is a major factor influencing the Army's organizational environment. Finally, the existence of a Non-Commissioned Officers corps, which parallels that of the Commissioned Officers Corps, is another important factor affecting the leadership process in the Army.

All of the factors mentioned above are a part of the U.S. Army organizational setting in which you will function as a leader and as an officer. We will now turn to a more specific treatment of the leadership process in the Army. We shall present you with examples of the leadership process and its development for a newly commissioned lieutenant in the Army.

The Newly Commissioned Lieutenant as
a Leader Low in Organizational Maturity

The Newly Commissioned Lieutenant

Perhaps no situation more clearly exemplifies the state of a leader who is low in organizational maturity than a newly commissioned lieutenant leading a platoon. The new lieutenant may not be technically competent in the tasks performed by the platoon because he or she has not received such training. Furthermore, the new lieutenant is likely to lack knowledge of the informal military structure and procedures which may be used to accomplish a particular task. The new lieutenant may have extensive knowledge of the formal structure of the Army but, under certain circumstances, an understanding of the informal structure and procedures may be critical in aiding the lieutenant to complete a mission.

The new lieutenant may also lack the communication and human relations skills needed for effective interaction with senior NCOs within the platoon. The NCO may be much older and more organizationally mature than the lieutenant. Similarly, the lieutenant may not have the understanding needed to motivate and counsel the soldiers who come from a much different cultural background. The new lieutenant may also find that the NCO's and soldiers are not motivated by the same things that motivate the lieutenant.

Finally, the new lieutenant is likely to be very unsure of his or her own role within the military organization. This will be particularly true if the lieutenant has developed the expectancy that his or her sole responsibility is to lead a platoon. Often a new lieutenant is assigned numerous "additional" company level duties which require considerable time. Frequently, this new officer does not expect such duties and subsequently becomes quite frustrated with the magnitude of the workload.

The Platoon

The platoon typically exemplifies the definition of an organizationally mature group of subordinates. For example, many of the platoon members are likely to have received extensive training in their particular area of task specialization. The platoon, like any group characterized by high levels of organizational maturity, has a formal group structure. The NCOs represent formally sanctioned leaders who have many years of experience in the Army. One indication of the level of group maturity which may exist in these platoons is that it is not unusual for the platoon to have functioned for some time without the help of a lieutenant as the platoon leader.

The exception to this normal state of affairs may occur when the NCOs in a platoon have just been promoted and/or transferred from a unit which had very different tasks to

perform. For example, if the platoon sergeant had just been promoted and transferred from an infantry battalion to an armor battalion, he may actually have a low level of organizational maturity. Remember that it is the NCOs' level of organizational maturity which is most critical in determining the leadership context of the newly assigned platoon leader. If the squad leaders were also recently promoted, then the subordinates' level of organizational maturity for the platoon would be low rather than high. This will be true despite the fact that the E-1 and E-2's within a platoon may know their jobs very well. The subordinates with whom the lieutenant is expected to interact are primarily the NCOs. If the NCOs have a low level of organizational maturity, then they will seek guidance from the lieutenant. Of course, if the E-1 and E-2s are also low in organizational maturity, the situation may become even more difficult.

The above discussion raises an important issue which must be addressed. How do you assess your own organizational maturity and the organizational maturity of your NCOs and soldiers? This question is of prime importance since this assessment will affect the first actions and decisions which you as a platoon leader must take.

The Self-Assessment of a Lieutenant's Organizational Maturity

The safest assumption to make when you take your first leadership assignment in the Army is that you have a relatively low level of organizational maturity. However, this does not mean that you have no strengths as a leader. You may have already begun to develop good communication and human relations skills, and these skills are very important when a leader initially enters the platoon.

The first question to ask yourself is "Am I technically competent to perform my job". To answer this question you may begin by reviewing the technical material which is relevant to your assignment. Do you really know this material? Could you apply your knowledge or do you only understand the theory involved in the job? If you have answered "yes" to both of the above questions, then you have passed the first hurdle. The next question is: Do I understand the technical skills required of my subordinates? To answer this you can look at the field manuals which are relevant to the tasks performed by the members of your unit. While it is not necessary that you should be able to perform all of the tasks that subordinates perform, you should have the ability to evaluate whether or not they are doing their job properly. Recall the previous example of the football coach. We noted that the coach did not have to play as well as a quarterback, but it was necessary that he understand

exactly what the quarterback needed to do in order to win a football game. You should ask yourself if you know enough about the jobs performed by your platoon members to provide the guidance they need to function as a "winning team". When you can answer all of the above questions in an affirmative manner, then your level of achievement on the technical competence dimension of organizational maturity will be quite high.

The next phase of self-assessment pertains to communication and human relations skills. That is, do you listen carefully and understand your subordinates, peers, and superiors? Do you speak clearly and at a level that your subordinates understand? Do you understand your own cultural biases and those of your troops? Steps for development of these skills are found in Section IV of the text.

It is very important that the newly commissioned lieutenant develop his or her technical competence, communication, and human relations skills early in his or her career as a leader. While these skills will continue to develop over the course of time, some threshold level on these three dimensions must first be reached so that development of additional skills may take place.

To assess whether you have a knowledge of the informal organizational structure and procedures, you can ask yourself a number of questions. Do I have access to the

"grapevine"? Do I have any contacts which will allow me to obtain such information? Do I know which members of my platoon may act as informal leaders and thus have influence over other members of my platoon? Your NCOs, troops, and peers are a good source of this information. Further information about this dimension can be found in Section IV of this text.

The final two dimensions of organizational maturity concern understanding the use of power and influence and your role as a lieutenant. The material presented in Section IV will provide basic knowledge and skills that should be sufficient for your initial assignment in the Army. Thus, if you learn this material well, you will have an adequate level of competence in these skills. To reach a higher level of organizational maturity you must actually gain some experience in your unit. Below are a list of questions to ask yourself when assessing your level of competence in these areas. First, how well do you use various types of power and influence in different situations? Do you rely too heavily on your rank or formal authority? Do you feel comfortable in your role as an officer? Do you know exactly what is expected of you by your commanding officer and your troops? Do you delegate authority? Do you avoid the development of crisis situations by long range planning?

The Assessment of Subordinates' Organizational Maturity

Soldiers. With respect to the enlisted persons in your platoon, it is important that you have some knowledge of how competent these soldiers are in performing their jobs. You can obtain the information needed to assess these subordinates' technical competence from their performance on the Skill Qualification Test (SQT), together with your own observations of their performance during field exercises. In addition to assessing the technical competence of these subordinates, you should also assess their ability to listen and follow instructions and their human relations skills, in terms of their ability to work with other platoon members. You can assess the level of competence of your subordinates on the latter two skills from your own interactions with the soldiers and by asking your NCCs about each soldier.

Non-commissioned officers. More important than assessing the organizational maturity of your enlisted personnel is the evaluation of your platoon sergeant and squad leaders. You should be able to assess their: (1) technical competence; (2) communications skills both with respect to understanding your orders and communicating with their subordinates; (3) human relations skills in terms of handling problems of poor work performance, social problems, and personal counseling of the soldiers; (4) awareness and ability to make use of informal structures and procedures in

the platoon or company when the formal structure cannot be used and a mission must be accomplished; (5) use of proper methods of influence, such as not coercing troops unnecessarily; and (6) understanding of their role in leading the platoon and their capability to make good decisions when they are delegated a task.

To obtain the information required to evaluate your NCOs, you must first establish good communications with your company commander and other lieutenants in the company. If possible, you should also contact the officer whom you are replacing to obtain his or her assessment of the NCOs. Another avenue to explore is the examination of the platoon's records. There you will find data concerning how long your subordinates have been in the unit, their particular specialization, and an evaluation of how well they performed in training. Some of this information can be obtained directly from conversations with each NCO being evaluated. Another source of information will be your own observations. Do your NCOs complete the tasks you assign in a reasonable period of time? Were they done correctly the first time? Have you been required to constantly check-up on your NCOs in order to keep them working? Have you found that your troops have a high degree of respect for the NCOs? Have the NCOs trained the troops well? Did they seem to handle problems between the troops adequately or have you had to constantly intervene in solving these problems? If

the answer to more than one or two of the above questions is "no" for any of your NCOs and they have not been in their position for a long period of time, then they may need more time to reach an adequate level of organizational maturity. If after they have been in this role for more than 3 to 6 months and still show no signs of improvement, then it may be necessary to begin performance counseling with the NCO.

In some cases you may find that an NCO does not perform well, not because of any lack of organizational maturity, but simply because he or she does not care to do so. In this case, you are dealing with a problem of motivation or attitude, rather than a lack of skills. While such a problem may lead to many of the same symptoms mentioned above, it may require more action on your part to bring about the change in attitude needed to improve these NCOs' performance. Information relevant to working with an NCO in this manner is discussed in Section IV of the text.

The guidelines above will serve as a beginning for assessing your own organizational maturity and that of your subordinates. You will certainly be able to add numerous other steps or procedures to the process as you develop your capabilities as a leader. It is important to note that such an assessment should be one of the first steps taken upon entering any new leadership position. You will find it advantageous to do some "pre-thinking" about these

questions.

Development of Effective Leadership

Communication channels. From what you have already read, you should know that the optimal strategy to follow when you enter your unit is to first establish good open communication channels with your company commander, platoon sergeant, and fellow lieutenants. Your first contact should be with the company commander. During the initial discussion with the company commander, you should clarify the company commander's performance expectations of you and your platoon. In addition, you should gain as much information as you can about the company commander's current evaluation of your platoon sergeant and other NCOs. Have any problems existed in the past in your platoon? How does your company commander run the company and what is his or her philosophy of leadership? During this meeting you will probably be assigned a number of "additional duties". It is important that you ask your company commander to clarify what each duty entails or where you might be able to obtain this information.

Your next step should be to talk with the lieutenant you are replacing and/or the other lieutenants in your company. Try to find out as much as possible about the company, and your platoon. At this point in time, you

should be ready to meet your platoon sergeant. This meeting is of critical importance. Your platoon sergeant is likely to be a big factor in your ability to succeed as a leader. The platoon sergeant will have a great influence over the members of your platoon and may also have extensive contact outside of the platoon, even to the extent of communicating directly with your company commander. Make it clear at the initial meeting that you need the full support of your platoon sergeant.

Your platoon sergeant should be able to acquaint you with the manner in which your platoon normally functions. Try to recognize the strengths and weaknesses of the platoon from his or her report. This sergeant may also be able to give an assessment of the personnel in your platoon. The primary purpose of your initial meetings with the platoon sergeant should be to gain information and not to give orders or begin making changes in the platoon. If you find that your platoon sergeant is extremely low in organizational maturity, then you may have to seek help from other sources. In this case, you should try to obtain information and guidance from other senior NCOs in the company, including other platoon sergeants. These other platoon sergeants might tell you how their platoons normally function and alert you to any particular actions you might take which could improve the functioning of your platoon.

Communicate both directly with the soldiers and with

your NCOs concerning the soldiers in the platoon. The information gained through these channels, coupled with the your initial observations of the performances of both the NCOs and soldiers, will begin to provide you with the knowledge needed to understand what must be done to motivate the soldiers and NCOs and improve your unit's effectiveness.

Leader-subordinate relationships. If you wish to actually lead the platoon based upon your personal influence rather than supervise the troops and relying upon your rank, then it will be necessary for you to have some knowledge of each soldier as an individual. This is a prerequisite for true leadership because leadership influence is based on individual leader-member relationships. It is through these relationships that you gain the power to influence soldiers without strict reliance on formal authority. The development of such relationships, however, takes time and you must initially rely upon the formal authority accorded your rank. Furthermore, the relationships which evolve must be that of a leader and subordinate, and not the "buddy-buddy" type relationship you develop with peers. The leader-subordinate nature of the relationship may be critical in times of combat when it becomes necessary for your orders to be followed without hesitation. If you and your soldiers have developed a "buddy-buddy" type of relationship, then they may feel that they are your equal rather than your subordinate and might question your orders

in a critical situation.

The NCO chain of command. The development of "buddy-buddy" relationships between you and your soldiers is likely to result in criticism from the NCOs for several reasons. First, you are supposed to use the NCO chain of command. Your NCOs are likely to consider the soldiers in the platoon as being their subordinates, and in many ways they are correct in making this assumption. The NCOs must maintain authority over the soldiers. If you bypass the NCOs and issue orders directly to the soldiers or become overly friendly with the soldiers, then you may undermine the authority which the NCOs need to lead the platoon in your absence. It is important that you develop this NCO chain of command so that it functions in a very efficient and effective manner. You may often be absent from your platoon due to additional duties at the company level and, in these instances, you must rely upon your NCOs. They must have the authority to carry out certain leadership functions so that your absence will not disrupt platoon performance. If at all possible, tell your platoon sergeant what needs to be accomplished and then allow him and the squad leaders to assign the necessary tasks to particular soldiers in the platoon. The possible exception to this course of action will occur when your assessment reveals that your platoon sergeant has an extremely low level of organizational maturity or simply refuses to accept the responsibility that

his or her position requires. If the NCO has a low level of organizational maturity, then you must work to develop his or her leadership skills. If you find that your platoon sergeant is not lacking in ability, but still is not performing his or her job, then you may have to temporarily perform the NCO's job. You should talk to the NCO, and try to motivate him or her to accept responsibility as the platoon sergeant. If this counseling fails and you are left leading the platoon without the sergeant's help, then you should bring the problem to the attention of your company commander.

Premature leadership. If you prematurely attempt to lead or change the manner in which your platoon is functioning, you may find that your suggestions will be followed only when issued as direct orders. Furthermore, if you do not have a great deal of both technical and task competence, such orders may result in less effective functioning of the platoon. In this case, the soldiers and NCOs who have been performing their jobs for some time may feel resentment toward you. In addition to resisting your initial ineffective suggestions, they may also resist later attempts at change which could actually lead to more effective platoon functioning. Such resentment is likely to interfere with the establishment of open communications between you and your subordinates, thus retarding the development of necessary leader-subordinate relationships.

This type of premature leadership would be expected to occur if you have a predisposition to be task oriented and enter an extremely stressful leadership situation. This may occur if you enter a platoon which is performing poorly and your company commander sets extremely high performance expectations for you and your platoon.

If you are a person oriented leader, you may react quite differently under the same stressful conditions. You may feel that the best way to improve performance would be through the improvement of the human relations climate within the group. Problems may occur if the senior NCOs perceive your behavior to be too "buddy-buddy" with the soldiers. This may be an easy trap to fall into since the soldiers are often closer to your age than your senior NCOs. The soldiers may also appear less threatening to you and consequently you may find it easier to interact directly with them. The soldiers themselves may view your actions with suspicion if adequate time has not passed for you to actually know them as individuals. This suspicion may cause the soldiers to view you as a "phony". It is critical that you evaluate your leadership behavior to determine if it is a personal reaction to stress.

Cultural differences. Understanding the needs and values of your soldiers' is important. You will find that your soldiers have backgrounds different from your own. Their background will influence their motivation and what

they value and respect. You must understand this in order to lead your soldiers based on more than just your formal authority. This will mean that you must interact with, and gain an understanding for, individuals with various cultural backgrounds. There may be language barriers which you must overcome in order to communicate with these soldiers.

Counseling. An understanding of the value systems of your subordinates is also required before you can conduct counseling with these individuals. You will find that a significant portion of your time will be devoted to providing performance and personal counseling. One step you should take shortly after entering your platoon is to ask your company commander and the Chaplain what referral services are available when your subordinates' problems are too severe for you to handle. The chapter on human relations skills in Section IV of the text will provide you with guidelines on recognizing when a referral is necessary.

Limits of Your Authority

You must learn what actions are considered to be appropriate for handling the various problems which arise in your platoon. If you fail to exercise the proper authority, your troops may perceive you as weak. If you overstep your authority, you may find yourself in serious trouble with your superior officers. You should also recognize that it would be unwise to rely solely upon your rank or threats of

imposing disciplinary action to motivate your troops. Such a reliance on formal authority may lead to a lack of respect for you as an individual. Repeated use of punitive actions might result in your soldiers perceiving you as a coercive leader.

Informal Organizational Structure

At some point in time, you will probably discover that in addition to the formal organizational structure there exists an informal structure within your company. While it is important that you are aware of any informal structure which exists, you should always try to use the formal chain of command. An informal structure may exist to enhance the accomplishment of formal organizational goals. However, to effectively use such a structure requires that a leader have established extensive communication networks and be familiar with the informal procedures and norms which exist in the company and battalion. Attempts to use the informal structure without this type of knowledge will be largely ineffective. This is an important reason why a newly commissioned lieutenant should always use the formal organizational structure whenever possible. If the use of some informal organizational structure seems imperative to the accomplishment of a mission, the new lieutenant might best rely upon his platoon sergeant to handle the situation or should at least consult with this NCO before taking any

action.

Within your platoon, you may become aware of the existence of sub-groups of soldiers and informal leaders. If this informal structure creates problems that your NCOs cannot resolve, then you must take action to either modify this structure or orient its members toward the accomplishment of your platoon's goals. This may involve trying to gain the cooperation of informal leaders or possibly transferring them out of the unit. In dealing with your soldiers, particularly those who are likely to be informal group leaders, you must be careful to reward them only for behavior directed at achieving the organizational goals which you are working to accomplish.

SECTION IV: LEADERSHIP SKILLS

Introduction

Much of what an officer in the U.S. Army must know can only be gained through the experience of leading soldiers in an actual Army setting. However, there are a number of steps you may take while in ROTC to prepare yourself to be an effective leader. The knowledge which you have gained from reading the reviews of current leadership theories (Section II) and the presentation of the developmental model of leadership (Section III) should have given you some important insights into the leadership process. The developmental model should have provided you with a broad perspective from which to organize your thoughts about leadership and help you learn from your experiences as a leader. This includes experiences, not only after you enter the Army, but also in any leadership position which you currently hold.

In addition to gaining a general insight into the leadership process, you should also develop your skills in each of the six dimensions of organizational maturity. This last section of the text includes chapters which discuss the

skills required for the development of effective leadership and exercises to facilitate your development of these skills. The chapters coincide with the dimensions of organizational maturity and include material concerning:

1. Technical Skills,
2. Communication Skills,
3. Human Relations Skills,
4. Understanding of Formal and Informal Organizational Structure,
5. Understanding of Different Types of Power and Influence, and
6. Understanding of the Role of the Newly Commissioned Lieutenant in the Army.

Let us now turn to the training of these six skills. We will discuss some basic skills you need to master, some guidelines to follow, and questions you should ask yourself. You will also have an opportunity to view and/or participate in behavioral demonstrations which will give you an appreciation for these leadership skills. It is important to note that these behavioral demonstrations are not games. The situations which are presented in many of these exercises are real problems which were described to the authors by newly commissioned lieutenants in the U.S. Army. Remember, it is quite likely that you will find yourself in very similar situations after you have received your

commission. While you will probably make at least some mistakes, the material contained in these next six chapters may enable you to make both fewer mistakes and mistakes which are of a less serious nature. Furthermore, when a problem does arise, the skills you have developed will provide you with a wider range of possible corrective actions and increase your chances of successfully solving the problem.

Introduction to the Exercises

The exercises which follow each chapter in this section of the text represent a sequence of critical incidents, or situations, which a newly commissioned lieutenant can expect to encounter upon entering the Army. In the exercises, the students will assume the roles of a newly commissioned lieutenant and other members of Company XYZ. The students will be provided with a great deal of information about the structure and functioning of this hypothetical company. Although the company itself is hypothetical, the situations in each exercise pertain to real situations encountered in the Army.

In an attempt to make the exercises realistic and to parallel the continuity and interrelatedness of events in the real world, the exercises are also interrelated. This interrelatedness is developed by use of the common context of Company XYZ and Platoon A in most exercises. Information presented in earlier exercises will be relevant to tasks performed in later exercises.

Another important aspect of the sequence of exercises is that the later exercises tend to become more complex. This increase in complexity is built into the exercises for two reasons. First, as noted in the text, the leadership skills needed by an Army officer are interrelated. The development of more complex skills depends upon prior

development of basic skills such as communication skills. The later exercises concentrate upon the more complex leadership skills and thus, reflect this complexity and the integration of basic leadership skills. Furthermore, in the actual Army setting, the new platoon leader's perception of the situation in which he or she functions will increase in complexity as information is gained over time. Exercises which follow the later chapters in the text also depend upon the greater amount of situational information which the student gains from the completion of the earlier exercises. This greater amount of information will provide the student with a more complex and realistic view of Platoon A and Company XYZ.

Introduction for the Instructor

SOME OF THE EXERCISES CONTAINED IN THE TEXT ARE TO BE PERFORMED BY GROUPS OF STUDENTS. A CERTAIN AMOUNT OF ROLE-ACTING IS REQUIRED IN THESE EXERCISES. INITIALLY, SOME STUDENTS MAY DO THIS BETTER THAN OTHERS, HOWEVER, ALL SHOULD IMPROVE WITH PRACTICE. THE ACTIVE PARTICIPATION OF ALL STUDENTS IN THE EXERCISES WILL PROVIDE THE OPTIMAL OPPORTUNITY FOR LEARNING, REGARDLESS OF THE STUDENTS' ROLE-ACTING ABILITY.

IF THE INSTRUCTOR WISHES, HE OR SHE MAY HAVE ONE GROUP OF STUDENTS PERFORM THE ROLES IN FRONT OF THE CLASS WITH THE OTHER STUDENTS ACTING AS OBSERVERS. IN THIS CASE, IT WOULD

BE BEST TO HAVE DIFFERENT GROUPS OF STUDENTS FOR EACH EXERCISE TO ALLOW THE MAXIMUM NUMBER OF STUDENTS TO PERFORM THE ROLES. IT MAY BE BENEFICIAL TO HAVE THE MORE "SERIOUS" OR "MOTIVATED" STUDENTS PERFORM IN FRONT OF THE CLASS FIRST. THIS ARRANGEMENT OF ONE GROUP PER CLASS PERMITS EXTENSIVE CLASS DISCUSSION AFTER THE EXERCISE IS COMPLETED. CLASS DISCUSSION SHOULD CENTER ON PERFORMANCE OF THE ROLE, I.E., LT. JONES, AND NOT PERSONAL CRITICISM OF THE ACTOR AS AN INDIVIDUAL. IF PERFORMING IN FRONT OF THE CLASS IS USED AS PUNISHMENT FOR CLASS BEHAVIOR OR ATTITUDE, IT WILL DECREASE THE EFFECTIVENESS OF THE EXERCISES.

A SECOND TYPE OF EXERCISE ARE THOSE WRITTEN FOR INDIVIDUALS TO PERFORM ON THEIR OWN. THESE EXERCISES CORRESPOND TO ORGANIZATIONAL LEADERSHIP DIMENSIONS WHICH ARE MORE KNOWLEDGE-ORIENTED THAN SOCIAL SKILL-ORIENTED. AFTER INDIVIDUAL STUDENTS HAVE COMPLETED THESE EXERCISES, THEY SHOULD PRESENT THEIR ANSWERS TO THE CLASS AND EXTENSIVE CLASS DISCUSSION SHOULD FOLLOW.

SOME OF THE PROBLEM SOLVING EXERCISES ARE RELATIVELY UNSTRUCTURED. THE LACK OF STRUCTURE IN THESE EXERCISES ALLOWS THE STUDENT MAXIMUM FREEDOM TO BE CREATIVE AND INNOVATIVE IN PROVIDING SOLUTIONS TO PROBLEMS. FOR SOME OF THOSE EXERCISES IN WHICH THERE IS NO OBJECTIVE SOLUTION, A SELF ASSESSMENT SECTION IS PROVIDED FOR THE STUDENTS. IN THE SELF ASSESSMENT SECTION, ONE OR MORE POSSIBLE SOLUTIONS TO THE PROBLEM WILL BE PRESENTED. THE SOLUTIONS PROVIDED IN

THIS SECTION OF THE EXERCISE REPRESENT A MEANS FOR THE STUDENT TO ASSESS THE ADEQUACY OF HIS OR HER SOLUTION, AND ITS REASONABLENESS IN A MILITARY ENVIRONMENT.

OTHER EXERCISES ARE FOLLOWED BY A SET OF DISCUSSION QUESTIONS OR A NUMBER OF QUESTIONS REQUIRING OBJECTIVE ANSWERS BASED UPON INFORMATION CONTAINED IN THE EXERCISE. EXERCISE 1 AND EXERCISE 2 ARE EXAMPLES OF THIS TYPE OF STRUCTURE. IN THESE CASES, THE STUDENTS' ABILITY TO ANSWER THE QUESTIONS WILL SERVE AS A MEANS OF ASSESSING THEIR PERFORMANCE. IN ADDITION, IN SOME ROLE PLAYING EXERCISES, OTHER STUDENTS WILL ACT AS OBSERVERS WHO PROVIDE FEEDBACK TO THE INDIVIDUALS PERFORMING A PARTICULAR ROLE.

Technical Competence

We have stated elsewhere that the purpose of this course is not to teach technical skills. However, it is appropriate to discuss the kinds of skills you will be expected to know when you begin officer basic training. Many of these skills are very basic and may even seem trivial. However, each is an important ingredient for effective leadership. As a college graduate, you will be expected to possess basic skills in your major area of study. In addition, you will be expected to have certain technical skills required of an Army officer. As a new officer, you will be expected to know how to march and how to lead a group of soldiers in various types of marching drills and ceremonial exercises. You will be expected to be familiar with the rules and regulations of the Army, including the appropriate dress codes. With respect to technical skills required of an officer in the field or in combat, you should know how to read a map and use a compass. After all, would you want to follow a leader who led you around in circles? You should also be familiar with various types of communication hardware. That is, given the importance of the coordinating role that a lieutenant is expected to fulfill in combat situations, you should be familiar with the operation of radio units and field telephones.

This is certainly not an exhaustive list of the technical skills that must be learned during ROTC service. Rather, it is presented to provide you with an idea of the level of technical skills a new officer is expected to possess upon entering the U.S. Army. To gain a better understanding of the specific technical skills required, you should examine the U.S. Army soldier manuals. You may be expected to possess technical skills which are equivalent to those discussed in the soldiers' manual for skill levels 3 or 4.

Communication Skills

The process of effective communication is perhaps the most important single process of leadership. This is true because the very definition of leadership is stated in terms of influencing others. To do this, one must be able to listen carefully to the needs of others and then respond to them by communicating in a manner which they understand. Effective communication becomes absolutely critical in combat where a single misunderstood order may cost the lives of hundreds of troops and prevent the success of an entire mission. As a lieutenant, you will be expected to communicate in face-to-face situations with your subordinates, peers, and superiors; to make presentations to groups of soldiers during training; and to understand and compose various written communications and orders.

In the past, you have undoubtedly experienced problems which occurred as a result of poor communications. Perhaps you can recall a professor who, although possessing a great knowledge in a particular area, was unsuccessful in teaching because of an inability to present information in an understandable manner. Similarly, a leader may be technically competent but fail at leading because of difficulty in communicating effectively. Communication skills are also crucial for the development of effective human relations skills, the understanding of power and

influence, and utilization of efficient decision-making processes. That is, communication is a basic skill underlying all the dimensions of organizational maturity.

Suppose that you are in your first assignment as a platoon leader and you are to have a weapons inspection by the company commander the next day. Unfortunately, you cannot personally supervise preparing the weapons for this inspection because both you and your platoon sergeant must accompany part of your platoon on a mission in the field. You must decide which of your squad leaders should be responsible for determining that the platoon's weapons are ready for inspection. Remember, if the weapons fail inspection it will be you, and not the squad leader, who will be held responsible by your company commander. How are communication skills related to this problem? First, you must have a great deal of information about the squad leaders to decide which one to choose for the job. Such information will be available only if you have established good communication channels with your platoon sergeant and other members of your platoon. This information gathering requires good listening skills. Furthermore, once you have selected the squad leader, the success of the operation will depend upon that individual's understanding of exactly what must be accomplished. This will depend upon the clarity of your orders. Critical Incident I presents a good illustration of an officer not giving perfectly clear

instructions. The incident was drawn from an actual interview.

Critical Incident I

Company XYZ was preparing for a General Inspection. Lt. Jones, the company motor pool officer, realized that one of the trucks in the motor pool could never be repaired in time to pass the inspection later that morning. Lt. Jones saw E-1 Moss walking through the garage. Lt. Jones called Pvt. Moss over to where he was standing and told Moss to "drive this truck over behind the shed in section A12 of the post and then report back to the garage". Lt. Jones knew that Pvt. Moss was not very bright, but as Moss drove away in the truck he felt sure that he had solved the problem of the truck which would not pass inspection.

Pvt. Moss, attempting to carry out his orders to the best of his ability, drove the truck to section A12 and parked it behind the shed. He waited there for about 20 minutes, started the truck, and drove back to the garage exactly as he had been ordered. Moss and the truck arrived just in time to be present for inspection of the motor pool, and as expected, the truck failed inspection. After the inspection, Pvt. Moss was still wondering what had been the purpose of his

drive that morning when Lt. Jones approached him and began yelling at him. Lt. Jones was in the process of reprimanding Moss for failure to carry out his orders and causing Jones great embarrassment when the truck failed inspection. Moss, visibly upset, was attempting quite unsuccessfully to defend his actions when Col. Smith, the Battalion Commander, approached the two men. Col. Smith demanded to know what had occurred. Lt. Jones, confident that he was justified in reprimanding Moss, told Col. Smith exactly what had happened, including his exact orders to Moss. When Jones had finished, Col. Smith began laughing. Col. Smith said "Lt. Jones, I believe you owe Pvt. Moss an apology. Actually, Pvt. Moss followed your orders to a 'T'. You never mentioned anything about leaving the truck behind the shed. You just told him to drive it there and return. That is exactly what he did".

Lt. Jones' face turned red. He suddenly realized what had happened. He turned and apologized to Pvt. Moss and the three men went their ways. Pvt. Moss left happy that he had, indeed, done as he was told. Lt. Jones left embarrassed and angry with himself, vowing that the next time he gave an order he would make sure

the soldier knew exactly what he wanted.

Col. Smith left chuckling to himself, confident that Lt. Jones had learned a valuable lesson in communication skills.

What exactly are communication skills? How does one communicate effectively? Much has been written on this subject, and we can only present you with some basic principles. However, if you understand these basic principles, your chances of communicating effectively should be improved.

Listening Skills

The first principle to keep in mind is that communication is a two-way process. The effectiveness of what you say depends, in great part, upon what you have heard and understood before you open your mouth. Thus, communication skills involve not only speaking, but also listening. Effective listening is as much a skill as effective speaking.

Encouraging others to speak. The first group of listening skills to be discussed are concerned with encouraging another speaker to provide you with as much information as he or she can possibly transmit. In other words, when you are listening to your company commander, your platoon sergeant, or one of your E-1s, it is important that you encourage free and open communication. Several guidelines are important in this situation. First, pay attention to the speaker. If you are shuffling through papers or glancing at a report when someone is speaking to you, it may be interpreted to mean that you are not

listening and do not care about what he or she has to say. Even if you do care, the individual probably will not tell you everything. Even if the person did, you might miss parts of the message. Therefore, do not do other things indicating that your attention is directed elsewhere. Second, make frequent eye contact with the individual and orient your body toward the person if possible. This indicates that your attention and listening channels are directed toward the speaker. Occasionally nodding your head or making short comments such as "yes" or "go on" in appropriate breaks, or pauses, in the other person's speech may further indicate that you are listening and will encourage him or her to continue. Finally, do not interrupt the speaker or "try to put words in his or her mouth." Allow the individual to express what he or she has to say in his or her own words. Often those things which a speaker will have the most trouble saying are the most important, and if you interrupt the individual, then he or she may fail to give you important information. These actions will enhance the communication process by encouraging another person to speak. However, it is important to remember that listening is an active, not a passive process. To listen well involves not only hearing but understanding what is being said.

Understanding what has been said. The second group of listening skills represents behaviors that may enhance your

ability to correctly interpret and understand messages you receive. In one-to-one communication, one must listen with his or her eyes as well as with the ears. Research has shown that almost one-half of the information exchanged in one-to-one communication is transmitted through channels such as gestures, facial expressions, and body language. A speaker's tone of voice and voice intensity are also important clues in helping you understand the true message underlying what is said. For example, a nervous speaker may avoid all eye contact with you, have a tense facial expression, and speak with a choppy voice. These non-verbal signals may indicate that the person is not telling you the truth or that he or she is talking about something that is quite important or painful. These types of cues are particularly important in the counseling of subordinates. The same gestures or facial expressions may communicate different information in different situations. Such cues may aid you in gaining a better understanding of what is being said and thus improve your effectiveness as a leader.

Asking questions. Asking appropriate questions will also increase your effectiveness as a listener. The important point to keep in mind is that questions are asked to gain clarification or more information and not to challenge the speaker. For example, if you ask a subordinate, "Why in the hell did you do that" the individual is likely to become defensive and the flow of

truthful information may end. You have a much better chance of obtaining the information needed if you state the question as: "I don't think I understand why you did that. Can you tell me more about what happened" It is also very critical that you ask questions of your commanding officer when you do not fully understand his or her orders. While you may feel embarrassed to ask for further clarification, it will be less costly than to misunderstand your orders and make a serious mistake. These questions for clarification of orders might best be stated by repeating or paraphrasing the order. For example, the question, "Excuse me Sir, but how many trucks do you mean when you say a few trucks," will probably be much better received than the question, "What did you say, Sir". Alternately, you might state your interpretation of the order in your own words and see if it meets with agreement. Other actions which may improve listening will be discussed in the human relations skills chapter. Let us now turn to communication skills related to speaking.

Speaking Skills

The most fundamental aspect of speaking is that one must speak in a clear audible fashion. This means that you must change the volume of your voice to match the situation. Speaking with chewing gum or a cigarette in your mouth may decrease the chances that your message will be understood.

Once you are speaking clearly and audibly, the next consideration is the particular audience whom you are addressing. As a platoon leader your communication can be directed upwards to your commanding officers, downward to your subordinates, or horizontally to your fellow lieutenants. The awareness of the direction of communication, or the audience you are addressing, is important for effective communication. For example, the audience that you are addressing will likely determine the purpose of the communication. If you are communicating with your commanding officer, it is quite likely that you will be receiving information about what you should be doing or providing justification for what you have already done. If you are addressing a subordinate, you will likely be telling him or her what they should be doing or asking them why they have performed in a particular manner. An exception to this may be the communication with your platoon sergeant in which case you may be obtaining advice. Communication with other lieutenants is likely to be of a less formal nature and will often be a mutual exchange of information.

Your audience will also determine the content of your message. That is, you must adjust your vocabulary so that those individuals with whom you are interacting will understand what you say. When addressing your commanding officer and your fellow lieutenants, it is acceptable to use the same vocabulary which you used in the college setting.

However, if you use this same vocabulary when giving orders to your NCOs or soldiers, incidents similar to that of the truck driver may occur in your platoon.

Finally, the audience you are addressing is a factor which should influence non-verbal aspects of communication such as your tone of voice. Remember, the manner in which you speak may often be as important as the content of your message. While you may be giving orders when communicating downward, you are not giving orders when communicating upward, rather, you are responding to orders. The tone of voice you will use in each of these situations will be different. When communicating with an officer of the same rank, your tone of voice and other non-verbal signals should reflect a spirit of cooperation. For example, while you may have authority over a fellow lieutenant because you are the company safety inspector, it would be unwise to "bark orders" at this officer. It is possible that you may find yourself requesting a truck from the same lieutenant because that person is the company motor pool officer.

There are a number of other points to keep in mind in various communication situations. In performance counseling, it is often best to say what you mean in a clear and direct fashion. You should not sound like you are a drill sergeant barking orders, but you should avoid ambiguous communication. No subordinate wants his or her commanding officer to shout at them in a performance

counseling session. In general, however, subordinates like to know exactly "where they stand" rather than leaving the counseling session uncertain about what they need to do to improve.

Communications of task information to subordinates must also be clearly stated so that subordinates know exactly how to accomplish a task. Before addressing a group assembled for any type of training, it is best to think through your presentation completely. Make sure that your presentation will be logical and clear. When attempting to explain how to perform a task, remember the non-verbal aspects of communication. The use of visual examples or demonstrations may be extremely beneficial. When presenting difficult tasks or complex ideas speak more slowly and pause occasionally to inquire whether your message needs clarification. Finally, if the subordinates' complete understanding of the task requirements is critical, then it would be wise to verify that they understand your instructions. One method by which this can be done is to ask questions about the task and to have them describe in their own words exactly what they must do. Although this may occupy valuable time, it will allow you to verify whether your orders have been understood.

Communication Skills Questions

The present treatment of communication skills has been

at a basic level. However, the fundamental principles that have been discussed should provide you with a good foundation in communications. The basic principles of communication which have been presented are of central importance to human relations skills and other skills related to organizational maturity. The following is a list of questions which you might use to assess your own communication skills.

1. Am I a good listener?
2. Do my troops know that I am interested in what they have to say?
3. Do I take what I hear for granted or do I ask questions needed to clarify what was said?
4. Do my subordinates understand what I say?
5. Am I using a vocabulary that is appropriate to the audience I am addressing?
6. Do I present complex or difficult material too quickly?
7. Do I make sure that my message has been understood?

Exercise 1

COMMUNICATION: Initial Meeting with the Commanding Officer

Introduction to Exercises 1 and Exercise 2

One important aspect of leadership is communication skills. In the preceding chapter, communication was described as a two-way process which involves both listening and speaking. These first two behavioral demonstrations are role performance exercises concerning listening and speaking skills within the context of the Army. The first exercise involves the initial meeting of a new lieutenant and his or her company commander.

The initial meeting between the newly assigned lieutenant and the company commander is important because mutual expectations are set concerning the superior-subordinate work relationship. Some of the important topics which might arise during this initial meeting are: (1) how does the captain plan to "break in" the lieutenant to the company's organization, (2) what are the lieutenant's primary and secondary duties, (3) what resources will be available to work with, and of course, (4) a description of the individuals with whom the lieutenant will be working. This meeting should enable the lieutenant to gain a general impression of the type of leadership which the company commander will expect from the lieutenant. Typically, this will coincide with the company commander's philosophy of

leadership.

This initial meeting exemplifies a situation where good communication skills are very important. This exercise provides an opportunity for the student to practice these skills. Below is an outline of the major points discussed in the text:

1. Communication is a process underlying all other leadership processes.
2. Communication is a two-way process involving both listening and speaking.
3. Listening skills which encourage the other person to speak include giving attention, giving eye contact, a receptive body orientation, and occasional nods and verbal reinforcements. Do not interrupt, and do not "put your words in the other person's mouth."
4. Listening skills required for understanding and correct interpretation of another speaker include: listening with your eyes as well as your ears, paying attention to the tone of voice, and asking questions for clarification.
5. Speaking skills include: Speaking clearly and audibly.
6. Adjust your vocabulary and tone of voice as a function of the person to whom you are speaking.
7. Speaking skills when addressing many people

include: planning the presentation in advance, use of non-verbal communication such as gestures and audio-visual equipment, speaking at a rate appropriate for the complexity of the topic and knowledge of the listeners, allowing questions, and having listeners repeat what you have said.

These points discussed in the text should be kept in mind while performing the exercise and the discussion after the exercise.

Objectives

As noted previously, your initial meeting with your company commander is an important first step in establishing yourself as a platoon leader. This meeting should provide you with information about your platoon, your NCOs, and your company commander's expectations about your behavior. In the real world, this information would play a major role in influencing your initial behavior as a platoon leader. In this exercise, the information you gain will also be critical to your performance in later exercises. Furthermore, at the conclusion of the exercise, students portraying the role of Lt. Jones will be required to answer questions relevant to the type of information which would be important to your performance if this were the actual meeting between you and your company commander. For those

students assuming the role of Capt. Wallis, the questions will be different, but the communication skills which must be used to obtain the relevant information during the exercise remain the same. Remember, your performance in this exercise will not only determine your ability to answer the questions following this exercise, but the information you gain now will influence your performance in future exercises.

INSTRUCTIONS TO INSTRUCTOR

EXERCISES 1 AND 2 MAY BE COMBINED IN ONE CLASS PERIOD OR FOR ONE DISCUSSION/LECTURE SESSION, SINCE BOTH DEAL WITH COMMUNICATION. THE FIRST EXERCISE CONCERNS THE INITIAL MEETING BETWEEN THE COMPANY COMMANDER AND THE LIEUTENANT AND THE SECOND EXERCISE INVOLVES THE INITIAL MEETING OF THE LIEUTENANT WITH THE PLATOON SERGEANT. BOTH ARE IMPORTANT, AND THE STUDENTS SHOULD BE EXPOSED TO BOTH.

SEVERAL OPTIONS ARE AVAILABLE FOR CONDUCTING THIS EXERCISE. THE CLASS CAN BE DIVIDED INTO SEVERAL TWO-PERSON GROUPS. AFTER THE EXERCISE, THE CLASS AS A WHOLE CAN DISCUSS THE OUTCOME OF THE EXERCISE FOCUSING UPON THE ACTOR'S USE OF COMMUNICATION SKILLS. A SECOND OPTION IS THAT 3-PERSONS (OR MORE) ARE ASSIGNED TO A GROUP, THEN TWO-PERSONS PORTRAY THE ROLES WHILE THE OTHER STUDENTS ACT AS OBSERVERS. THESE OBSERVERS CAN THEN PROVIDE FEEDBACK INFORMATION TO THE ROLE INCUMBENTS. OBSERVER RECORD FORMS

ARE PROVIDED TO FACILITATE SYSTEMATIC OBSERVATION. A FINAL OPTION IS TO HAVE TWO PERSONS PORTRAY THE ROLES WHILE THE REST OF THE CLASS OBSERVES.

STUDENTS WHO PORTRAY THE ROLES OF LT. JONES AND CAPT. WALLIS SHOULD BE GIVEN AT LEAST 10 MINUTES TO FAMILIARIZE THEMSELVES WITH THEIR ROLE INFORMATION. THEY SHOULD READ ONLY THAT INFORMATION WHICH REFERS TO THEIR ROLE CHARACTER. THE ACTUAL ROLE PERFORMANCE SHOULD LAST ABOUT 10 MINUTES. UPON COMPLETION OF THE ROLE PLAYING, THE STUDENTS PORTRAYING LT. JONES AND CAPT. WALLIS SHOULD ANSWER THE QUESTIONS PROVIDED FOR EACH ROLE. QUESTIONS ARE ALSO PROVIDED TO GUIDE GENERAL CLASS DISCUSSION.

Instructions to Students

This exercise requires two students to play the roles of Lt. Jones and Capt. Wallis. You will either be assigned one of these roles or act as an observer. Note that these exercises require some imagination, a willingness to get involved in the conversation, and the ability to ad lib. While this role-playing may seem difficult at first, your skills will improve with practice.

If you are to portray Lt. Jones or Capt. Wallis, take some time to learn your role information; you may have to read it twice. In order to perform your role, you should:

1. Think about the person whose role you will portray. How would he or she react in situations

with which you are familiar? How would he or she talk?

2. What are the demands of the situation which you are playing?

3. You have been given a brief description of a person and a situation, try to put yourself in that situation. Keep the role in the back of your mind, but remember, the reactions, dialogue, etc, are yours to create.

If you are acting as an observer, you should examine the observer record form. Familiarity with the items on this form will enable you to function more effectively.

Upon completion of the role playing, the students portraying Lt. Jones and Capt. Wallis should answer the questions provided for each role. Questions are also provided to guide the general class discussion.

Role Information: Lieutenant Jones

You (Lt. Jones) are 22 years old and single. You have just arrived in the Ft. Ord area yesterday. You attended ROTC at Upperville Tech University where you majored in civil engineering. Between your junior and senior years you attended summer camp at Ft. Bragg, N. C.. Exceptional performance at summer camp and graduation in the top 10% of your ROTC class made you a prime candidate for a platoon leadership position. Before coming to Ft. Ord, you completed basic training at Ft. Benning. You were at the top of the class in the Infantry Officer Basic Course.

You are excited about being assigned to Ft. Ord. This is the first big step in your Army career. You feel that you are ready to lead a platoon. You feel confident in the skills you learned in the Basic Course. Nevertheless, you are nervous about meeting the expectations of your company commander, the other lieutenants, and the soldiers in your platoon. You are hopeful that everyone will allow you time to adjust to your leadership position. You have a philosophy of leadership which may be described as being somewhere in between that of Theory-X and Theory-Y of McGregor's distinction (see section on McGregor in Section II). That is, you feel that the individuals in the platoon desire to be mature, and that most of the time they are self-motivated and can exercise self control. But also, for

certain military situations, especially extended training and actual combat, these same individuals must be motivated by incentives and closely supervised in order for them to accomplish a mission. You feel that, when everything is going smoothly, a Theory-Y approach is essential to keep the platoon working smoothly. But when the job is very demanding, and when platoon operations are falling short of what is required, then a Theory-X approach is needed in order to accomplish the mission.

When first coming into town, you went directly to the Incoming Personnel Office where you were told to meet with Capt. Wallis of Infantry Company XYZ. On the way to Company XYZ, you thought about what to say to Capt. Wallis, what questions to ask him, and what your assignment would be like. You thought about: quality of your soldiers, the experience of your NCOs, and your working relationship with Capt. Wallis. After searching, you found Capt. Wallis busy at his desk. You knocked on the door. Without looking up, Wallis said "Enter."

Note on Role Playing. If you incorporate your own philosophy of leadership with that of Lt. Jones' given above, then the discussion should go smoothly.

Role Information: Captain Wallis

You (Capt. Wallis) are 29 years old, a West Point graduate, and have had combat experience as a lieutenant. You have firm beliefs about leadership. You believe that leadership can only be learned by experience and that experience means making mistakes. However, you have little tolerance for subordinates who repeatedly make the same mistakes. Your subordinates have described you as "gung-ho," "hard-nose," and "show me the results and don't give me any excuses." You are respected by your subordinates.

You command three infantry platoons: A, B, and C. Lts. Biss and Barker are assigned respectively to platoons B and C. Platoon A seems to have problems. In the past two years, two different 2nd. lieutenants have asked for transfers out of Platoon A. These lieutenants complain of conflicts between themselves and Sgt. Rock. It seems that there is some disagreement about how jobs are supposed to get done. Sgt. Rock feels that going by the book is not always the best way to accomplish a job. The lieutenants have felt that, given a few exceptions, the manuals give the best way to do a job. Nevertheless, you feel that Sgt. Rock is an asset to the company. His expertise has saved the company from embarrassment on inspections and field exercises on several occasions.

You are wondering what this new platoon leader, Lt.

Jones, will be like, and if he can get Platoon A's operations running smoothly. You feel that to be effective in Platoon A, the lieutenant must be able to work well with Sgt. Rock. Specifically, you were wondering if this new lieutenant:

- 1) Had a philosophy of leadership similar to your own.
- 2) What type of attitude Lt. Jones will take concerning Sgt. Rock.
- 3) And if he can take full responsibility for the platoon activities immediately.

You were wondering about these things when Lt. Jones came in your office.

Note. Encourage the other person (Lt. Jones) to ask questions. If questions are asked that you cannot answer, respond as best as you can and move on. If you incorporate your own philosophy of leadership with that of Capt. Wallis given above and keep that as a topic of speaking, then the discussion should go smoothly.

Questions for Lt. Jones

1. Who are the other lieutenants in Company XYZ?
2. What is Capt. Wallis' philosophy of leadership? How does it differ from yours?
3. What does Capt. Wallis feel is the key to your success in leading Platoon A?
4. What type of platoon sergeant is Sgt. Rock?

Questions for Capt. Wallis

1. What is the military background of Lt. Jones?
2. What is Lt. Jones' philosophy of leadership? How does it differ from yours?
3. Do you feel that Lt. Jones has the qualifications to work with Sgt. Rock?

Class Discussion Questions

1. Did the role players speak audibly, use the appropriate vocabulary, and use a tone of voice appropriate for their roles?
2. Did they ask questions because they wanted to obtain more information or because they needed clarification of what was being said?
3. Did they use appropriate body orientation, eye contact, head nods, and verbal reinforcements?
4. How would you characterize the communication process that occurred: one-way or two-way? If the latter, in which direction why?
5. How did Lt. Jones and Capt. Wallis differ in their philosophy of leadership?

OBSERVER RECORD

Instructions: check the appropriate box if the behavior was observed in the actor's role.

Behavior

Role

Lt. Jones Capt. Wallis

1. Paid attention to other
2. Gave eye contact to other
3. Body orientation toward other
4. Occasionally nodded head
5. Occasional short verbal remarks
6. Interrupted the other person
7. Put words in the other person's mouth
8. Asked questions for information
9. Asked questions for clarification
10. Spoke audibly
11. Used appropriate vocabulary for role
12. Spoke slowly when topic was complex
13. Used appropriate tone of voice
14. Asked if other person understood

How would you characterize the communication: one-way or two-way?

If the latter, in which direction? Does this seem to have any relationship to the above checklist?

Exercise 2

COMMUNICATION: Initial Meeting with the Platoon Sergeant

Objectives

The question of how the platoon operates is typically a major topic of interest in the initial meeting of the platoon sergeant and newly assigned platoon leader. Often questions arise as to who should have the primary responsibility of leading the soldiers: the platoon sergeant or the lieutenant? If a misunderstanding develops during this initial meeting, it may seriously hamper the development of a productive working relationship between these individuals. Good communication skills are important in preventing such a misunderstanding.

At the end of this exercise, you will be provided with feedback as to how well you have communicated the information contained in your role. Your ability to answer a number of questions about the other actor will give you an indication of the proficiency of your listening skills and his or her speaking skills. Once again, the information in this exercise will be relevant to later, more complex exercises.

INSTRUCTIONS TO THE INSTRUCTOR

THIS EXERCISE MAY BE CONDUCTED IN THE SAME MANNER AS EXERCISE 1. IF IT IS POSSIBLE FOR AN NCO TO PORTRAY SGT.

ROCK'S ROLE FOR ONE PERFORMANCE IN FRONT OF THE CLASS AND TO PARTICIPATE IN CLASS DISCUSSION, THEN HIS OR HER COMMENTS MAY PROVIDE VALUABLE INSIGHTS FOR THE STUDENTS.

Instructions to Students

Another situation requiring good communication skills encountered by a new lieutenant is the initial meeting with the platoon sergeant. If you consider the soldiers, tasks, and organization surrounding you when you first come into a platoon leadership position, it is likely that no one else in the platoon will have as much experience as the platoon sergeant. Your initial meeting with this person will determine whether his or her experience will work for or against you.

Several aspects of communication are especially important during this initial meeting. First, development of good communication will be facilitated by eye contact while talking. Second, respect for the experience of the sergeant is conveyed in your tone of voice. Do not rely on a command voice in this initial meeting; it might be interpreted by the sergeant as a lack of respect for his age and experience. Finally, your alertness and attention will be conveyed in your body orientation and non-verbal

responses.

This exercise requires two students. One person is to portray Lt. Jones while the other will assume the character of Sgt. Rock. These roles follow directly from characters discussed in Exercise 1. Indeed, some of the information that Capt. Wallis should have given to Lt. Jones is important in this exercise.

The following pages contain information about Lt. Jones and Sgt. Rock. Read only those pages which pertain to your role. The information given in both roles concentrates primarily upon two different philosophies of running a platoon: by the standard operating procedures given in the manuals or by informal procedures learned from experience. While performing the exercise, note how these two different attitudes reflect underlying differences in leadership philosophy.

Now, take some time to learn your role information; you may have to read it twice. Then perform the role using the same guidelines as presented for exercise 1. Be prepared to question the other person.

Role Information: Lieutenant Jones

After talking with Capt. Wallis, you arranged to talk with Sgt. Rock. You know that this initial meeting with the NCO is very crucial in setting a good working relationship. You have learned that Sgt. Rock is 39 years old and had served tours in Vietnam where he was decorated for bravery under fire. Capt. Wallis described him as a "soldier's soldier" with much technical expertise. Capt. Wallis said that "Rock is so confident in his own abilities that sometimes he resists changes, even if they would be beneficial." Capt. Wallis regards Sgt. Rock very highly, praising him for his "dependability."

While favorably impressed with Sgt. Rock's record, you do not want to let Sgt. Rock infringe upon your authority over the platoon members. You are committed to "shaping up" the platoons' standard operating procedures which were described as "informal" by Capt. Wallis. You have decided to confront Sgt. Rock with the topic of which is the best way to get a job done: by the book or through informal channels. You believe that the Army will function best if everything is done as spelled out in the manuals. You feel that if everyone "went by the book", then the whole Army would run smoothly. You expect to use this technique to get Platoon A running smoother. Indeed, as a new lieutenant in the platoon, the only way you can objectively evaluate the

platoon's operations is by comparing the actual operations with those specified in the standard operating procedures published by the Army.

Note. If you incorporate your own philosophy with that of Lt. Jones above, then the exercise will go smoothly. Attempt to keep the topic on "how to best get a job done" and the philosophy of leadership required to do this.

Role Information: Sergeant Rock

You have heard that a new lieutenant is arriving soon and that it will be your job to orient him to the operations of Platoon A. You hope that this lieutenant will not be too eager to "take charge" and try to change the way Platoon A functions. Rather, you wish he would listen to your explanation of how you direct the platoon's operation. Fifteen years in the service have taught you that the best way to learn about leadership is to watch how experienced soldiers lead. You expect the new lieutenant to sit back and watch you lead your soldiers. If this lieutenant is to succeed, he "better well listen to what you have to say." You feel that the troops are your soldiers and that you are their leader. You also know that the troops agree with this. After all, they trust the leadership experience that you have and not that of a "green lieutenant" just out of school. After the soldiers become familiar with the lieutenant, and he proves himself, then they may become trusting in his leadership.

After the lieutenant works with you a while, he will learn how to get the job done in a way which may sometimes be different than that specified in technical manuals. You feel that problems in the platoon come from a lieutenant who wants everything done by the book. You always get the job done, even if your methods seem "round-about" at first

glance. You realize that "book methods" of doing a job cannot address every different situation and unique problem in accomplishing a mission. Only experience can solve such unique problems. A lieutenant who wants to go strictly by the books always seems to be telling the soldiers how to do their job even when they already know what they are doing. You think this is the root of the problem with the past two lieutenants in Platoon A.

Note. If you incorporate your own views of what a platoon sergeant would be like and what he would feel about "how to best accomplish a mission" with that of Sgt. Rock above, then the exercise will go smoothly. Attempt to keep the conversation on "how to best accomplish a mission".

Questions for Lt. Jones

1. What is Sgt. Rock's philosophy of leadership? How does it differ from your own?
2. How can you expect the soldiers in the platoon to react to you?
3. How does Sgt. Rock expect you to assume leadership of the platoon?
4. What are the major conflicts that you perceive between you and Sgt. Rock?
5. Does Sgt. Rock seem dependable to you?

Questions for Sgt. Rock

1. What is Lt. Jones' philosophy of leadership? How does it differ from your own?
2. What objectives does Lt. Jones expect to accomplish as the leader of Platoon A?
3. How does Lt. Jones expect to assume leadership of the platoon?
4. What are the major conflicts that you perceive between you and Lt. Jones?
5. Does Lt. Jones seem to be a dependable leader to you?

Class Discussion Questions

1. Did the role players speak audibly, use the appropriate vocabulary, and use a voice tone appropriate for their role?
2. Did they ask questions because they wanted more information or because they needed clarification of what was being said?
3. Did they keep eye contact with each other during most of the conversation? Did you notice if their body positions were oriented towards each other?
5. How would you characterize the communication process that occurred: one-way or two-way? If the latter, in which direction?
6. Did Lt. Jones and Sgt. Rock come to an agreement on "how to best get a job accomplished" by the book method or by experience? What were the strong and weak points in each argument?
7. How do you think leadership style is related to the topic of "how to best get a job accomplished"?
8. Both Sgt. Rock and Lt. Jones may be considered as leaders

in Platoon A. Given the typical background of each (from the exercise), what implications exist for conflicts of leadership styles?

OBSERVER RECORD

Instructions: check the appropriate box if the behavior was
observed in the actor's role.

Behavior

Role

Lt. Jones Sgt. Rock

1. Paid attention to other
2. Gave eye contact to other
3. Body orientation toward other
4. Occasionally nodded head
5. Occasional short verbal remarks
6. Interrupted the other person
7. Put words in the other person's mouth
8. Asked questions for information
9. Asked questions for clarification
10. Spoke audibly
11. Used appropriate vocabulary for role
12. Spoke slowly when topic was complex
13. Used appropriate tone of voice
14. Asked if other person understood

How would you characterize the communication: one-way or two-way?
If the latter, in which direction? Does this seem to have any
relationship to the above checklist?

Exercise 3

COMMUNICATION: Three Channels

The problem solving tasks employed in this exercise were adopted from tasks provided by Shaw (1962).

Introduction

The first two exercises focus upon the communication skills involved in face to face interview situations. This exercise concentrates upon the communication skills used when the leader attempts to coordinate the work activities of several platoon members.

A platoon leader communicates with his troops through several different types of communication media. The most common method of communication with the troops is face to face verbal exchange. However, the lieutenant may also direct the troops via radio messages or written communications. The communication requirements for all three of these task related interactions differ somewhat from the one-on-one interview situation. Furthermore, each of the three communication methods has its own unique set of requirements, advantages, and disadvantages. An increased awareness of these different communication requirements should enable the platoon leader to use each communication media more effectively.

Objectives

The primary goal of this exercise is to demonstrate the different advantages and problems which may develop in using three different communication media while attempting to coordinate the work activities of a group of subordinates. As noted above, the three most common communication situations encountered are face to face verbal exchange, verbal exchange via radio or telephone, and written communications. This exercise will demonstrate the use of each of these methods of communication in a problem solving situation. The actors and observers should then use the discussion questions as a guide to discussing the problems and advantages of each method of communication.

INSTRUCTIONS TO INSTRUCTOR

THIS EXERCISE DEMONSTRATES COMMUNICATION PRINCIPLES WHICH ARE RELATIVELY COMPLEX. DUE TO THIS FACT, THE EXERCISE ITSELF IS SOMEWHAT COMPLEX AND LONGER THAN EXERCISE 1 OR EXERCISE 2. THE COMPLETION OF THIS EXERCISE AND CLASS DISCUSSION MAY REQUIRE 1 1/2 TO 2 HOURS. THIS REPRESENTS A LARGE BLOCK OF TIME WHICH MAY NOT BE AVAILABLE TO SOME INSTRUCTORS. THEREFORE, THIS EXERCISE MAY BE VIEWED AS OPTIONAL RATHER THAN REQUIRED. HOWEVER, THE BENEFITS WHICH STUDENTS MAY GAIN FROM COMPLETING THIS EXERCISE ARE MANY AND, IF TIME PERMITS, THIS EXERCISE SHOULD BE COMPLETED.

THIS EXERCISE REQUIRES THAT THE STUDENTS BE ARRANGED

INTO GROUPS OF FOUR PERSONS EACH. WITHIN EACH OF THE GROUPS, ONE MEMBER SHOULD BE RANDOMLY SELECTED TO PORTRAY THE ROLE OF PLATOON LEADER (LT. JONES) AND THE OTHER THREE SHOULD ACT AS THE PLATOON MEMBERS (SGT. JOHNSON, SGT. CLICK, AND SGT. GRANGE).

IF CLASS SIZE OR SPACE LIMITATIONS MAKE THIS IMPRACTICAL, THE INSTRUCTOR CAN SELECT THREE 4 PERSON GROUPS TO PERFORM THE EXERCISE IN FRONT OF THE CLASS. WHILE ONE GROUP IS PERFORMING, THE OTHER TWO GROUPS MAY ACT AS OBSERVERS.

IN EITHER CASE, THE ROLE INFORMATION FOR EACH OF THE THREE PARTS OF THE EXERCISE SHOULD BE DISTRIBUTED ONLY TO THE APPROPRIATE STUDENTS AND AT THE BEGINNING OF EACH OF THE THREE PHASES OF THE EXERCISE.

Instructions to Students

This demonstration requires four person groups. Within each group, there should be a leader and three subordinates. The instructor should appoint one member of the group as the leader. This individual should assume the role of Lt. Jones and receive the role information for this person. The other three members of the group will each receive role information for the role of Sgt. Johnson, Sgt. Click, or Sgt. Grange. These roles should be maintained throughout the three phases of the exercise. For each phase of the exercise, you will receive the appropriate role information

for completing the task. The nature of the task itself will remain essentially the same for the three phases of the exercise. While the subordinates will actually be the group members who are to perform the task, the leader must act to coordinate the efforts of the three members in order for the task to be completed. This is typically the role that a platoon leader will fulfill, the role of a coordinator and supervisor. The exercise will be conducted in three phases. The general instructions for each phase are included below. Each phase of the exercise should be completed in approximately fifteen minutes.

Task Phase I

INSTRUCTIONS TO INSTRUCTOR

IN THIS PHASE OF THE EXERCISE, THERE ARE NO RESTRICTIONS ON THE COMMUNICATIONS BETWEEN GROUP MEMBERS. THE GROUP SHOULD BE SEATED AROUND A TABLE OR WITH THEIR CHAIRS IN A CIRCLE SO THAT THE MEMBERS ARE ALL FACING EACH OTHER. DISTRIBUTE THE ROLE INFORMATION TO THE APPROPRIATE GROUP MEMBERS. TELL THE STUDENTS THEY ARE NOT TO LOOK AT EACH OTHER'S ROLE INFORMATION. GROUP MEMBERS SHOULD "ACT OUT" THEIR ROLES NOT JUST READ THEIR ROLE INFORMATION TO THE REST OF THE GROUP. ALLOW THE GROUPS A MAXIMUM OF FIFTEEN MINUTES TO PERFORM THE TASK. AT THE END OF THIS TIME PERIOD, EACH GROUP MUST GIVE YOU ITS ANSWER. TELL THE GROUPS THEY WILL RECEIVE BONUS POINTS FOR CORRECT SOLUTIONS ARRIVED AT BEFORE THE FIFTEEN MINUTE TIME LIMIT. BONUS POINTS WILL BE AWARDED AS FOLLOWS:

IF CORRECT ANSWER IS GIVEN WITHIN FIVE MINUTES, THEN BONUS = 25 POINTS

IF CORRECT ANSWER IS GIVEN BETWEEN FIVE TO TEN MINUTES, THEN BONUS = 15 POINTS

IF CORRECT ANSWER IS GIVEN BETWEEN THE TEN MINUTE MARK BUT BEFORE YOU REQUEST ANSWER AT THE FIFTEEN MINUTE LIMIT, THEN BONUS = 5 POINTS.

ALL CORRECT ANSWERS WILL BE AWARDED 20 POINTS IN ADDITION TO ANY BONUS. NO POINTS WILL BE AWARDED FOR

INCORRECT ANSWERS AND GROUPS ARE ALLOWED ONLY ONE ATTEMPT AT GIVING THE CORRECT SOLUTION. TELL THE GROUP THIS AND REMIND THEM TO BE SURE OF THEIR ANSWER BEFORE GIVING IT TO YOU. THE ABOVE SCORING PROCEDURE WILL REMAIN THE SAME FOR ALL PHASES OF THE EXERCISE.

ALL ROLES WILL BEGIN WITH THE PROBLEM STATEMENT BELOW. IN ADDITION, THE FOLLOWING ROLE INFORMATION WILL APPEAR FOR EACH GROUP MEMBER.

PROBLEM STATEMENT:

YOUR PLATOON IS WAITING TO BE AIRLIFTED FROM A JUNGLE ISLAND WHERE YOU HAVE BEEN ENGAGED IN OPERATIONS WITHIN ENEMY TERRITORY. THE PLANE MUST GET INTO THE TEMPORARY AIRSTRIP AND OUT IN A VERY SHORT PERIOD OF TIME. THE PICKUP WILL TAKE PLACE AT NIGHT AND YOU MUST LIGHT FLARES TO GUIDE THE PLANE. HOWEVER, IF YOU LIGHT THE FLARES TOO EARLY, THE ENEMY TROOPS WILL BE ALERTED AND THE PLANE IS LIKELY TO BE SHOT DOWN. IF YOU WAIT TOO LONG, THE PLANE WILL PASS OVER HEAD AND YOUR MEN WILL NOT BE PICKED UP. THEREFORE, IT IS CRITICAL THAT YOU KNOW THE ARRIVAL TIME OF THE PLANE. YOUR RADIO IS NOT FUNCTIONING SO THERE IS NO WAY TO RECEIVE A MESSAGE AS TO THE ARRIVAL TIME OF THE PLANE. HOWEVER, YOU DO KNOW THAT THE PLANE LEFT ISLAND 1 AT 1900 HOURS. WHAT TIME WILL THE PLANE PASS OVER YOUR ISLAND?

INFORMATION

1. THE PLANE STOPS AT ISLAND 2 FOR ONE HOUR.
2. THE DISTANCE FROM ISLAND 2 TO ISLAND 3 IS 200 MILES.
3. THE PLANE MUST LAND AT ISLAND 2.
4. THE PLANE MUST LAND AT ISLAND 3.
5. THE SPEED OF THE PLANE IS 100 MILES PER HOUR.
6. THE DISTANCE FROM ISLAND 1 TO ISLAND 2 IS 100 MILES.
7. THE DISTANCE FROM ISLAND 3 TO YOUR ISLAND IS 100 MILES.
8. THE PLANE STOPS AT ISLAND 3 FOR THREE HOURS.

SOLUTION: PLANE WILL PASS OVER ISLAND AT 0300 HOURS.

Instructions to Student

This first phase represents the least restrictive type of communication situation. The only restriction placed upon your communication with other group members is that you may not show other members your role information or read it to them verbatim. The group interaction which occurs in this phase is typical of the face to face task related exchanges which occur between platoon leaders and their NCOs.

You have fifteen minutes maximum to complete the exercise. When you have arrived at a solution you believe is correct, the individual acting as Lt. Jones should relay the answer to the instructor. Bonus points will be given for correct answers reported before the fifteen minute time

limit. However, your group may submit only one solution and no points will be awarded for incorrect answers. Therefore, be sure of your solution before notifying the instructor.

Read the role information given to you by the instructor. Remember Lt. Jones is to act as coordinator and supervisor. Only Sgts. Johnson, Click and Grange have the information needed to solve the problem.

Role Information: Lt. Jones

Your platoon is waiting to be airlifted off of a jungle island where you have been engaged in operations within enemy territory. The plane must get into the temporary airstrip and out in a very short period of time. The pickup will take place at night and you must light flares to guide the plane. However, if you light the flares too early, the enemy troops will be alerted and the plane is likely to be shot down. If you wait too long, the plane will pass overhead and your men will not be picked up. Therefore, it is critical that you know the arrival time of the plane. Your radio is not functioning so there is no way to receive a message as to the arrival time of the plane. However, you do know that the plane left island 1 at 1900 hours. What time will the plane pass over your island?

The only information you have is that the plane left island 1 at 1900 hours. You know that your NCOs have information relevant to calculating when the plane will pass over the island. If your platoon is to be rescued you must coordinate the efforts of these NCOs and help them arrive at an accurate estimate of when the plane will arrive.

Role Information: Sgt. Johnson

Your platoon is waiting to be airlifted off of a jungle island where you have been engaged in operations within enemy territory. The plane must get into the temporary airstrip and out in a very short period of time. The pickup will take place at night and you must light flares to guide the plane. However, if you light the flares too early, the enemy troops will be alerted and the plane is likely to be shot down. If you wait too long, the plane will pass overhead and your men will not be picked up. Therefore, it is critical that you know the arrival time of the plane. Your radio is not functioning so there is no way to receive a message as to the arrival time of the plane. However, you do know that the plane left island 1 at 1900 hours. What time will the plane pass over your island?

You know that the type of plane which will rescue you travels at 100 miles per hour. Furthermore, you know that the plane must stop at island 3 which is 100 miles from your island.

Role Information: Sgt. Click

Your platoon is waiting to be airlifted off of a jungle island where you have been engaged in operations within enemy territory. The plane must get into the temporary airstrip and out in a very short period of time. The pickup will take place at night and you must light flares to guide the plane. However, if you light the flares too early, the enemy troops will be alerted and the plane is likely to be shot down. If you wait too long, the plane will pass overhead and your men will not be picked up. Therefore, it is critical that you know the arrival time of the plane. Your radio is not functioning so there is no way to receive a message as to the arrival time of the plane. However, you do know that the plane left island 1 at 1900 hours. What time will the plane pass over your island?

You have seen a map of the route the plane will be flying. You know that the plane will stop at island 2 and island 3 before it reaches your island. Furthermore, you know that the distance from island 1 to island 2 is 100 miles and that the distance from island 2 to island 3 is 200 miles.

Role Information: Sgt. Grange

Your platoon is waiting to be airlifted off of a jungle island where you have been engaged in operations within enemy territory. The plane must get into the temporary airstrip and out in a very short period of time. The pickup will take place at night and you must light flares to guide the plane. However, if you light the flares too early, the enemy troops will be alerted and the plane is likely to be shot down. If you wait too long, the plane will pass overhead and your men will not be picked up. Therefore, it is critical that you know the arrival time of the plane. Your radio is not functioning so there is no way to receive a message as to the arrival time of the plane. However, you do know that the plane left island 1 at 1900 hours. What time will the plane pass over your island?

You have flown a mission similar to that which your rescue plane will be completing. You know that the plane will be stopping at island 2 and island 3 before picking you up. Furthermore, you know that in order to carry out the tasks which must be accomplished at each island, the plane will be at island 2 for one hour and island 3 for three hours.

Task Phase II

INSTRUCTIONS TO INSTRUCTOR

IN THIS PORTION OF THE EXERCISE THE COMMUNICATION RESTRICTIONS IMPOSED UPON THE GROUP ARE MEANT TO SIMULATE THOSE WHICH OCCUR WHEN COMMUNICATING VIA RADIC OR TELEPHONE. THE GROUP MEMBERS ARE TO BE SEATED WITH THEIR BACKS TO EACH OTHER TO BLOCK ANY VISUAL COMMUNICATION. FURTHERMORE, TO ADDRESS A GROUP MEMBER, HE OR SHE MUST FIRST BE CALLED UPON BY NAME. AFTER DELIVERY OF THE MESSAGE, ONLY THE INDIVIDUAL RECEIVING THE MESSAGE MAY RESPOND. AFTER THIS PERSON HAS RESPONDED, ANY OTHER GROUP MEMBER MAY "CALL" ANOTHER GROUP MEMBER TO DELIVER ANOTHER MESSAGE. WITHIN EACH GROUP, ONLY ONE INDIVIDUAL MAY SPEAK AT A TIME AND, WITHIN EACH GROUP, ONLY ONE CONVERSATION MAY BE IN PROGRESS AT ANY POINT IN TIME. FOR EXAMPLE, A TYPICAL CONVERSATION MAY BE:

- (1) LT. JONES "CALLS" SGT. ROCK: "SGT. ROCK, HOW MANY SOLDIERS DO WE NEED IN SECTOR III"
- (2) SGT. ROCK RESPONDS: "LIEUTENANT, WE NEED AT LEAST TWELVE MORE SOLDIERS."
- (3) SGT. CLICK NOW ENTERS THE CONVERSATION SINCE SGT. ROCK HAS RESPONDED TO JONES AND THE 'LINES ARE CLEAR': "LT. JONES, I HAVE FOUR SOLDIERS I CAN SPARE FROM SECTOR V."
- (4) LT. JONES MIGHT THEN RESPOND . . .

THE PERSON ASSUMING THE ROLE OF LT. JONES IS TO ACT AS THE COORDINATOR OF THIS COMMUNICATION NETWORK AND MAKE SURE

THAT THE PROBLEM IS SOLVED. THE SAME SCORING PROCEDURE IS TO BE USED IN THIS PHASE AS IN PHASE I. YOU SHOULD NOW HAND OUT THE ROLE INFORMATION. THE PROBLEM STATEMENT AND ROLE INFORMATION FOR THIS PHASE ARE GIVEN BELOW.

PROBLEM STATEMENT

YOU HAVE BEEN ASSIGNED TO PROVIDE PROTECTION FOR A SUPPLY UNIT. ONE OF YOUR CONVOYS OF TRUCKS IS PREPARED TO LEAVE WITH AMMUNITION FOR FOUR OUTPOSTS IN AN AREA WHERE THERE IS A GREAT DEAL OF ENEMY GUERRILLA ACTIVITY. THERE ARE SEVERAL ROUTES WHICH MAY BE FOLLOWED BUT TIME IS OF THE ESSENCE AND THUS, THE SHORTEST ROUTE WHICH CAN BE SAFELY TRAVELED MUST BE FOLLOWED. FURTHERMORE, TO DECREASE THE CHANCES OF THE ENEMY SETTING UP AN AMBUSH, THE DRIVERS DO NOT WANT TO TRAVEL THE SAME ROAD TWICE. THEREFORE, THE CONVOY SHOULD PASS THROUGH EACH OF THE OUTPOSTS ONCE AND ONLY ONCE. WHAT IS THE SHORTEST ROUTE?

INFORMATION

1. THE DISTANCE FROM THE MAIN BASE TO OUTPOST RED DOG IS 20 MILES (DIRECT ROUTE).
2. THE DISTANCE FROM THE MAIN BASE TO OUTPOST THUNDER IS 5 MILES (DIRECT ROUTE).
3. THE DISTANCE FROM THE MAIN BASE TO OUTPOST FALCON IS 20 MILES (DIRECT ROUTE).
4. THE DISTANCE FROM OUTPOST RED DOG TO OUTPOST THUNDER IS

15 MILES (DIRECT ROUTE).

5. THE DISTANCE FROM OUTPOST RED DOG TO OUTPOST SKY HAWK IS 10 MILES (DIRECT ROUTE).

6. THE DISTANCE FROM OUTPOST THUNDER TO OUTPOST FALCON IS 20 MILES (DIRECT ROUTE).

7. THE DISTANCE FROM OUTPOST FALCON TO OUTPOST SKY HAWK IS 5 MILES (DIRECT ROUTE).

8. THERE IS NO DIRECT ROUTE BETWEEN THE MAIN BASE AND OUTPOST SKY HAWK; NOR IS THERE A DIRECT ROUTE BETWEEN OUTPOST RED DOG AND OUTPOST FALCON, OR OUTPOST THUNDER AND OUTPOST SKY HAWK.

SOLUTION: TOTAL DISTANCE 35 MILES- YOUR BASE TO OUTPOST THUNDER TO OUTPOST RED DOG TO OUTPOST SKY HAWK TO OUTPOST FALCON.

Instructions to Students

In this portion of the exercise the communication restrictions imposed upon the group are meant to simulate those which occur when communicating via radio or telephone. The group members are to be seated with their backs to each other to block any visual communication. Furthermore, to address a group member, he or she must first be called upon by name. After delivery of the message, only the individual receiving the message may respond. After this person has responded, any other group member may "call" another group

member to deliver another message. Within each group, only one individual may speak at a time, and within each group only one conversation may be in progress at any point in time. For example a typical conversation may be:

(1) Lt. Jones "calls" Sgt. Rock: "Sgt. Rock, how many soldiers do we need in Sector III"

(2) Sgt. Rock responds: "Lieutenant, we need at least twelve more soldiers."

(3) Sgt. Click now enters the conversation since Sgt. Rock has responded to Jones and the 'lines are clear': "Lt. Jones, I have four soldiers I can spare from Sector V."

(4) Lt. Jones might then respond . . .

The person assuming the role of Lt. Jones is to act as the coordinator of this communication network and make sure that the problem is solved. The same scoring procedure is to be used in this phase as in Phase I.

The communication requisites in this phase are different than those in Phase I. Remember that time is of the essence and this may require that your messages to each other be short and concise. You will now be given your role information. Study this information carefully and when ready, the group member acting as Lt. Jones should begin the task with the first "radio message".

Role Information: Lt. Jones

You have been assigned to provide protection for a supply unit. One of your convoys of trucks is prepared to leave with ammunition for four outposts in an area where there is a great deal of enemy guerrilla activity. There are several routes which may be followed but time is of the essence and thus, the shortest route which can be safely traveled must be used. Furthermore, to decrease the chances of the enemy setting up an ambush the drivers do not want to travel the same road twice. Therefore, the convoy should pass through each of the outposts once and only once. You have sent out three reconnaissance patrols to determine the conditions of various routes. These patrols are led by Sgt. Johnson, Sgt. Click, and Sgt. Grange. You are now ready to contact these patrols by radio to find out what they discovered. From studying your map, you already know that there is no direct route between the main base and Outpost Sky Hawk. Likewise, there is no direct route between Outpost Red Dog and Outpost Falcon, or Outpost Thunder and Outpost Sky Hawk. Given the information obtained from the other group members what is the shortest route?

Role Information: Sgt. Johnson

You have been sent on a patrol to determine the shortest route which can be traveled safely by a truck convoy which is about to leave from the main base. Your patrol has discovered that the shortest possible route from Outpost Red Dog to Outpost Sky Hawk is 10 miles and the shortest route from the main base to Outpost Falcon is 20 miles. Furthermore, you talked to another truck convoy which just returned from a similar mission and they told you that the shortest route from Outpost Thunder to Outpost Falcon was 20 miles. All of these routes are direct routes.

Role Information: Lt. Jones

You have been assigned to provide protection for a supply unit. One of your convoys of trucks is prepared to leave with ammunition for four outposts in an area where there is a great deal of enemy guerrilla activity. There are several routes which may be followed but time is of the essence and thus, the shortest route which can be safely traveled must be used. Furthermore, to decrease the chances of the enemy setting up an ambush the drivers do not want to travel the same road twice. Therefore, the convoy should pass through each of the outposts once and only once. You have sent out three reconnaissance patrols to determine the conditions of various routes. These patrols are led by Sgt. Johnson, Sgt. Click, and Sgt. Grange. You are now ready to contact these patrols by radio to find out what they discovered. From studying your map, you already know that there is no direct route between the main base and Outpost Sky Hawk. Likewise, there is no direct route between Outpost Red Dog and Outpost Falcon, or Outpost Thunder and Outpost Sky Hawk. Given the information obtained from the other group members what is the shortest route?

Role Information: Sgt. Click

You have been sent on a patrol to determine the shortest route which can be traveled safely by a truck convoy which is about to leave the main base. Your patrol has discovered that the shortest possible direct route from Outpost Red Dog to Outpost Thunder is 15 miles and the shortest direct route from the main base to Outpost Red Dog is 20 miles.

Role Information: Sgt. Grange

You have been sent on a patrol to determine the shortest route which can be traveled safely by a truck convoy which is about to leave the main base. Your patrol has discovered that the shortest possible route from Outpost Falcon to Outpost Sky Hawk is 5 miles. Furthermore, you had spent several days last week taking supplies to Outpost Thunder and you know the shortest direct route to that Outpost from the main base is 5 miles.

Task Phase III

INSTRUCTIONS TO INSTRUCTOR

IN THIS FINAL PHASE OF THE EXERCISE, COMMUNICATION WITHIN THE GROUP IS SEVERELY RESTRICTED. ONCE AGAIN, THE GROUP MEMBERS SHOULD SIT IN A POSITION SO AS NOT TO FACE ONE ANOTHER. FURTHERMORE, ALL COMMUNICATIONS MUST BE WRITTEN. THERE IS TO BE NO SPOKEN EXCHANGE OF INFORMATION BETWEEN GROUP MEMBERS. TO PARALLEL THE VERTICAL EXCHANGE OF WRITTEN INFORMATION WHICH OCCURS IN THE ACTUAL ARMY SETTING, ONLY LT. JONES IS ALLOWED TO SEND MESSAGES TO ALL OTHER GROUP MEMBERS. THE STUDENTS ASSUMING THE ROLES OF SGT. JOHNSON, SGT. CLICK, AND SGT. GRANGE MUST RELAY ALL OF THEIR MESSAGES THROUGH LT. JONES. REMEMBER, HOWEVER, THE SOLUTION TO THE PROBLEM SHOULD COME FROM THE THREE SUBORDINATE GROUP MEMBERS AND NOT FROM LT. JONES.

THE SCORING IN THIS PHASE SHOULD BE DONE IN THE SAME FASHION AS FOR PHASE I AND PHASE II.

YOU SHOULD NOW HAND OUT THE LAST SET OF ROLE INFORMATION. THE PROBLEM STATEMENT AND ROLE INFORMATION FOR THIS PHASE ARE GIVEN BELOW.

PROBLEM STATEMENT

EIGHT MEN IN YOUR UNIT HAVE VOLUNTEERED FOR A DANGEROUS BOMBING MISSION. FOUR MEN ARE NEEDED: A PILOT, A CO-PILOT, A NAVIGATOR, AND A BOMBARDIER. IT IS UNLIKELY THAT ANY OF

THE FOUR MEN WHO GO ON THIS MISSION WILL RETURN. ALL OF THE VOLUNTEERS ARE WELL QUALIFIED AND THEREFORE, YOU DECIDE THAT THE CRITERION YOU WILL USE TO SELECT THE FOUR MEN WILL BE THE NUMBER OF DEPENDENTS EACH MAN WOULD LEAVE BEHIND IF KILLED. WHICH FOUR MEN SHOULD YOU SELECT?

INFORMATION

1. WILSON IS A CO-PILOT, MARRIED AND HAS THREE CHILDREN.
2. SMITH IS A CO-PILOT, MARRIED AND HAS ONE CHILD.
3. THOMAS IS A PILOT, MARRIED AND HAS TWO CHILDREN.
4. NASON IS A PILOT, MARRIED AND HAS ONE CHILD.
5. TRIPPET IS A NAVIGATOR AND HAS NO DEPENDENTS.
6. PINWAY IS A NAVIGATOR, MARRIED, BUT HAS NO CHILDREN.
7. STACY IS A BOMBARDIER, MARRIED, BUT HAS NO CHILDREN.
8. COLLINS IS A BOMBARDIER AND HAS NO DEPENDENTS.

SOLUTION: SHOULD SEND SMITH, NASON, TRIPPET, AND COLLINS.

Instructions to Student

In this final phase of the exercise, communication within the group is severely restricted. Once again the group members should sit in a position so as not to face one another. Furthermore, all communication must be written. There is to be no spoken exchange of information between group members. To parallel the vertical exchange of written information which occurs in the actual Army setting, only

Lt. Jones is allowed to send messages to all other group members. The students assuming the roles of Sgt. Johnson, Sgt. Click, and Sgt. Grange must relay all of their messages through Lt. Jones. Remember, however, the solution to the problem should come from the three subordinate group members and not from Lt. Jones.

The scoring in this phase should be done in the same fashion as for Phase I and Phase II.

When each of you receives your role information study it carefully. Remember, those students in the roles of Sgt. Johnson, Sgt. Click, and Sgt. Grange may send messages only to Lt. Jones. Thus, the responsibility for the distribution of information needed to complete the task falls upon the student in the role of Lt. Jones. However, for the group to arrive at a correct solution, the written messages from each group member to the other must be clearly written so that the reader is able to understand exactly what he or she must do.

Role Information: Lt. Jones

Eight men in your unit have volunteered for a dangerous bombing mission. Four men are needed for the mission: a pilot, a co-pilot, a navigator, and a bombardier. It is unlikely that any of the four men will return from this mission. All of the volunteers are well qualified and therefore you decide the criterion you shall use to select the four men will be the number of dependents each man would leave behind if killed. Since you have just entered the unit you must obtain this information from the NCOs in your unit.

Role Information: Sgt. Johnson

In your unit, you have Tippet who is a navigator with no dependents. You have a pilot named Mason who is married and has one child. The final volunteer who is from your unit is Stacy, a bombardier who has no children but is married.

Role Information: Sgt. Click

In your unit, you have a co-pilot named Smith who is married and has one child. Thomas, a pilot, is also in your unit. Thomas is married and has two children. The final volunteer who is from your unit is Collins, a bombardier who has no dependents.

Role Information: Sgt. Grange

Volunteers from your unit include Wilson and Finway.
Wilson is a co-pilot who is married and has three children.
Finway is a navigator who is married but has no children.

Discussion Questions

1. In what ways was communication easier in Phase I than in Phase II?
2. In what ways was communication easier in Phase I than in Phase III?
3. Was it more difficult to supervise the problem solving task in Phase II or in Phase III? Why?
4. What changes must a leader make in going from face-to-face verbal exchange to remote (radio) verbal conversations? To written communication?
5. In any of the phases, was the leader of the group aware of trying to solve the problem on his or her own? Why?
6. Would the nature of the task which the group was working upon make any of these three types of communication more difficult? Why? What could be done to correct this problem?

Self Assessment

In addition to the criterion of whether or not the group was able to obtain the correct solutions to the problem solving tasks, the students portraying Lt. Jones may evaluate two other aspects of their performance in the exercise. In the role of Lt. Jones your principal responsibility as a coordinator was to obtain as much information as possible from each subordinate and to distribute the information to all other subordinates working on the task. With respect to obtaining information, you should evaluate the extent to which you used good listening skills, particularly asking appropriate questions. Did you stop and decide which information you needed and systematically attempt to obtain the information, or did you blindly ask questions?

With respect to communicating the information you obtained, was this done quickly and accurately? Whenever possible did you address the group as a whole? Did you speak plainly and transmit information accurately? When your communication was restricted, did you limit your messages to only the essential information and questions so as to save time? Your ability to quickly obtain and transmit information accurately will be critical in your role as a coordinator in combat situations.

For students assuming the role of subordinates in this

exercise, the assessment of your performance should also include how well you were able to communicate the information you possessed accurately and quickly. In addition, since you had the responsibility of actually solving the problem, you should examine how well you were able to integrate the information provided by other group members in order to reach a solution. Did you attack the problem in a systematic fashion and identify what information was relevant to the solution? Did you transmit your insights to other group members? Did you try to integrate the insights of other members into your solution? If you can answer each of these questions in an affirmative manner, then your performance in the exercise was probably more than adequate.

Human Relations Skills

Many people have mixed feelings concerning the teaching and practice of human relations skills due to the over zealous nature of past human relations skills advocates. We would like to begin this section by placing some of the issues relevant to human relations in the proper perspective. In your position as a lieutenant and platoon leader, you are not running an encounter group. You are probably not trained to be a group therapy counselor and even if you were, the use of group therapy would not be recommended in your platoon. Your platoon is part of a larger organization and its primary goals are mission oriented, i.e., you are leading a group of individuals toward the attainment of specific organizational goals. It is quite important, however, that you have some understanding of how your actions as a leader will affect the feelings of those soldiers around you. Furthermore, it is important that you be sensitive to the emotions and needs of your subordinates, since failure to be perceptive to these factors may be detrimental to the performance of individual platoon members and ultimately the performance of the entire unit. It is unrealistic to believe that all of your platoon members will be completely satisfied. On the other hand, if a large number of your platoon members are continually dissatisfied, you will most likely have

personnel problems which may seriously hamper the success of your mission. The purpose of this discussion of human relations skills is to sensitize you to the existence and possible causes of such problems. Once sensitized to the possible causes of human relations problems, you may then begin working upon solutions to these problems. There is no guarantee that this chapter will make you a human relations expert or enable you to be completely successful in your interactions with all people. While you can obtain some fundamental knowledge from this chapter, many human relations skills can be perfected only through experience. The critical importance of actually applying and practicing human relations principals to further develop human relations skills is one reason that you should take a very serious attitude when performing the exercises which accompany this text. Even the exercises not directly related to the human relations section of the text involve human relation skills, if they include interaction with other individuals. Furthermore, you should be able to apply the knowledge you gain in this, and other sections of the text, in your interactions with other people in your every day life. This is particularly true for situations in which you find yourself in a leadership position. We will now turn our attention to some specific fundamental principles related to effective interpersonal interactions.

Knowing Yourself

The first step in the development of human relations skills is to understand yourself as an individual. If you do not understand your own strengths, weaknesses, and biases, then you cannot begin to understand those of the people around you. You have certain personal qualities, which only you can assess, that may interfere with effective leadership. One simple exercise that you might perform to increase self-awareness is to take a piece of paper and list ten aspects about yourself which you consider positive and ten aspects which you consider negative. This list can include items such as honesty, greed, or behaviors such as interrupting other people while they are speaking. These personal characteristics are ones which we will not address. If you increase your own awareness of their existence, it may help you to understand some of the problems that you may experience while leading other persons. This list will also provide you with the beginning for a program of self-improvement.

Cultural Biases

Having completed a personal inventory of what you consider to be your strong and weak points, the next step in the development of the human relations skills you will need as a leader is to understand your own cultural biases and the biases of your subordinates. Newly commissioned

lieutenants often describe the process of transition from the college environment of ROTC to the assignment as a platoon leader as a "cultural shock." This label probably represents an accurate description of what may be occurring and emphasizes the importance of understanding the effect of different cultural backgrounds. For example, if you came from a middle class family and completed four years of college, you have developed a manner of speaking, thinking, and a value system which is quite different than that of an individual who was raised in a culturally disadvantaged family from the inner city or an individual from a small rural town. These different backgrounds lead to the development of different cultural biases. Differences in cultural bias will occur not only between a lieutenant and subordinates, but also between subordinates. For example, one aspect of these cultural biases is the development of stereotypes about members of another race or ethnic background. In the U.S. Army, people with many different cultural biases live and work together. The heterogeneous cultural composition which is likely to be found in a platoon makes the leader's understanding of the specific stereotypes important for harmonious human relations in the platoon. The reason for this is that, when interacting with unfamiliar individuals from another subculture, people tend to be somewhat cautious in their demeanor. The stereotypes which we have developed about other ethnic or racial groups

may lead us to expect certain behaviors from individuals who are members of these groups. This will be particularly true if we are not personally familiar with the other individual. Often these expectations are for undesirable, or perhaps threatening, behavior from the other individual. These expectations will sensitize us to any behavior fitting that stereotype. This may lead to a distortion in the perception of behavior, thus, making it consistent with the stereotype. Language differences are likely to exist between members of your platoon who are from different subcultures. Considering all of these factors, it is easy to see why someone may misinterpret an action or comment as threatening or degrading.

For example, suppose that you have a black platoon member from a large urban area who calls another man in your platoon a "really bad mother____er." If the other platoon member is also a black from an urban area, then he may interpret this as a compliment because he feels that it represents an acknowledgement of his shrewdness and ability to accomplish some task. On the other hand, the same comment made to a white from the rural south may lead to a fight. The difference in the two reactions to the comment is a function of two aspects of cultural bias. First, the black and white platoon members may possibly have a language barrier in that "bad" may carry negative connotations to that particular white but positive connotations to that

particular black. The use of the term "mother____er" in this particular context may be fairly neutral in connotation for that black platoon member but highly emotionally charged for that white platoon member. The white platoon member may have a stereotype of blacks which suggests that the use of profanity by such an individual is a sign of aggression. Thus, the statement may be perceived as threatening and result in a "fight or flight" reaction from that white platoon member. Either reaction may reinforce the stereotype which black platoon member has of whites. If the white platoon member becomes abusive or violent, this will reinforce the black platoon member's stereotype of whites as being discriminatory and threatening. If the white platoon member turns and leaves, the black platoon member may interpret this as further evidence of the white platoon member's unwillingness to accept blacks as equals.

This example demonstrates how stereotypes cause human relations problems. The particular stereotypes used in the example represent those commonly believed to be held by black and white members of our society. It is essential to note that all whites and blacks do not hold these stereotypes. To accept such a generalization only represents further stereotyping and reinforce cultural biases which may cause human relations problems.

These cross-cultural confrontations can easily create tension in the platoon and seriously hinder the effective

performance of the unit. The platoon leader must take some action to avoid these conflicts, if possible, and alleviate the tension if such confrontations do occur. In settling problems which arise from a cultural confrontation, both (or all) individuals involved in the dispute should be brought together for a counseling session. Ask each individual to present his or her side of the problem and then explain the manner in which cultural biases or stereotypes may be distorting their perceptions of what has actually happened. The primary goal of the counseling session should be to increase each individual's awareness of the role played by his or her biases and stereotypes in interacting with members of a different cultural background. The session should not concentrate on establishing which individual or group is at fault or should be "blamed" for the conflict. To concentrate on which individual or group is at fault will probably lead to more defensive behavior, greater emotionality, and tension. This type of counseling should not be attempted unless you clearly understand the cultural biases which exist within your platoon. If you do not feel that you are capable of handling the problem, then refer the subordinates to an appropriate source, such as the Chaplain or the officer in your company who is responsible for race-relations training.

Understanding these cultural biases is only a first step in dealing with human relations problems. The role of

a platoon leader will require other kinds of behavior and human relations skills besides that of refereeing intercultural misunderstandings.

Performance Counseling and Giving Feedback

As the leader of an organizational unit which has certain goals to meet and tasks to accomplish, you will have to evaluate and provide feedback and criticism to your subordinates. If this situation is handled improperly, you may be a major source of many human relations problems which exist in the unit. While it is impossible to give you a specific step-by-step set of rules for giving constructive feedback and criticism to subordinates, some possible guidelines are available. In the Army, this type of feedback session can be rather formal and, depending on the severity or frequency of the performance problem, written records may be required.

The guidelines which will be discussed in this section refer to the verbal interaction between the leader and subordinates. First, it is important to give both positive and negative feedback to subordinates. If subordinates perform exceptionally well, it is beneficial to tell them that they have done well. Such an action will increase morale and also provide an incentive for subsequent work performance. The use of both positive and negative feedback decreases the chances that subordinates will feel that you

are "singling them out" or harassing them when you do have to give them negative feedback or criticism.

Negative feedback should be given as soon as a problem in work performance has occurred. By providing feedback at that point in time, the subordinate will be able to associate the criticism with the incorrect behavior. In addition, the criticism should be directed at the behavior and its undesirable consequences, rather than toward the subordinate as an individual. By adopting this stance, the leader will avoid the subordinate feeling that the leader is trying to degrade or belittle him or her. Furthermore, prompt feedback also increases the chances that the subordinate will be able to avoid making the same mistake again. It will also be advantageous to give the same subordinate praise as soon as the subordinate has performed well.

When informing subordinates that they have made a mistake, a leader should also tell them what they could have done to correct or avoid the problem. That is, when trying to improve a soldier's poor performance, some possible alternate action should be offered so that the soldier will be able to improve in the future.

If at all possible, criticism of a soldier in front of the rest of the platoon should be avoided. Such public reprimands may thoroughly embarrass the individual. This embarrassment would tend to create resentment and ill

feelings that are quite difficult to resolve. Furthermore, such actions may create tension in the rest of the platoon because they do not consider it fair to publicly belittle an individual for making a mistake. This resentment among other members of the unit may decrease the effectiveness of your entire platoon.

After a soldier has been reprimanded, the matter is best dropped and not brought up in future unrelated counseling sessions. Continual reference to past mistakes can only serve to produce bad feelings and give the impression that redemption is impossible. The only exception to this guideline occurs when the continual poor performance of an individual warrants taking severe actions such as the initiation of proceedings for discharge from the Army. Prior to taking such actions, however, the subordinate should be confronted with the work performance evidence and it should be made absolutely clear that disciplinary action will be taken if the performance does not improve. If, after these steps, performance does not improve, then the leader should take the necessary corrective action.

A final point to remember is that you are constantly setting an example for your soldiers. If you do not accept the blame for your own mistakes and attempt to correct them, then you can not expect your subordinates to correct their failures. While many individuals find criticism from their

superiors difficult to accept, such criticism may be particularly difficult to accept if it comes from the platoon sergeant, who is officially your subordinate. Remember that it is only by receiving feedback and then correcting your mistakes, that you will learn to become an effective leader. If your commanding officer criticizes you in front of your troops for a mistake that you have obviously made, this may be very painful and embarrassing. However, you should maintain your self control and do not vent your frustrations on your subordinates. These individuals know why you are angry and will have more respect for your leadership ability if you are able to absorb such treatment.

Personal Counseling

As a platoon leader, you will also be expected to perform personal counseling with your soldiers and NCOs. Although your platoon sergeant will often handle many of these problems, subordinates prefer to discuss some problems with the lieutenant. A likely case when this will occur will be when the problem experienced by the soldier involves the platoon sergeant. Moreover, it is possible that your platoon sergeant may have a personal problem and may approach you for help.

The first step in personal counseling is the identification of those subordinates who may have personal

problems. Often a soldier will approach and ask to speak with you. However, it is more often the case that soldiers will be reluctant to discuss their personal problems with another person. This reluctance to discuss personal problems voluntarily may cause personal problems to remain hidden until you begin performance counseling with a soldier due to poor work performance. You may then find that the poor work performance was caused by a personal problem. It may be time to either begin personal counseling with the individual or refer them to one of the professional counselors available. This decision itself is very important and will be discussed later in this chapter. In addition to poor work performance, personal problems may be indicated by continued disciplinary problems with an individual or his or her general inability to get along with the rest of the platoon. If a soldier always seems constantly withdrawn from the rest of the platoon, this should serve as a warning of possible personal problems. The soldiers' reluctance to discuss personal problems will also mean that simply asking subordinates to come into your office and tell you about his or her problems will not result in an effective counseling session. While such action certainly will indicate that you are concerned, a number of counseling skills would be useful in encouraging the individual to discuss his or her problems.

However, before beginning a discussion of specific

counseling skills, one important point should be noted. You should know your soldiers as individuals before you attempt to counsel them. This means that you should have some idea about their personal history; i.e., where they came from, where they live and their family. Much of this information can be obtained from platoon records, discussions with your platoon sergeant, and informal discussions with each soldier. A newly commissioned lieutenant once reported that he found it beneficial to write this information on a small memo pad. Until he became familiar with all of his soldiers, it was quite useful to refer to these notes before discussing a soldier's personal situation. Thus, knowing at least a minimum amount of personal information about each of your soldiers is an important first step. It will give you some possible starting point for conversation and help set subordinates at ease before discussing their problems. Remembering this point, it is time to begin a discussion of some fundamental counseling skills.

In counseling the subordinate, you should appear at ease. Explain to the subordinate that you want to talk with him or her and offer any assistance that you can with problems which he or she may be experiencing. Inform them that you are concerned about their performance and would like to help them in any way possible. Emphasize that what they say to you will be kept confidential and maintain this confidentiality if at all possible. Probably the only

justification for not maintaining confidentiality would be in cases where to do so would possibly lead to injury to the soldier or other persons. This will be discussed in greater detail later. If the soldier is unwilling to talk, then wait a few days and try again. Remember, personal counseling is not a police interrogation. The soldier must be willing to talk and want your help. Otherwise, you will be wasting both your and the subordinate's time.

Once a soldier does begin to talk, use all of the listening skills which you possess. It is very critical in counseling that the soldier feel that you are listening and interested in helping him or her. As you listen to the soldier, ask questions to clarify points you do not understand. Furthermore, do not ask the person to justify why he or she may have done something until after the soldier has had an opportunity to finish explaining the entire problem.

Another important reminder is to never take the problems of your subordinates lightly. While the problem may seem easy or trivial to you, telling the soldier this may result in the soldier's feeling embarrassed or resentful and withdrawing from counseling. Remember, if the problem did not seem very serious and stressful for that individual, they would have been able to deal with the situation without your help.

Once the personal problem has surfaced, then what

should you do? There is no general answer to this question. In the case of performance counseling you should be able to be quite directive and clarify exactly what needs to be done. This is not the case for personal counseling. The problem resides within the soldier, and only he or she can solve it. Ideally, you should be able to suggest possible courses of action which he or she might pursue. Try to point out very clearly the possible consequences, both short and long range, for each alternate action available to the soldier. After this, the course of action is decided by the soldier. Once the soldier makes this decision you should try to be as supportive as possible in helping the soldier carry out the action. However, it is not your responsibility to make a personal decision for the soldier and you should not try to impose your own solution upon the soldier.

Referring a Subordinate for Further Treatment

At times a soldier may present some very complex or severe problems to you. If you begin to suspect that the soldier has very severe personality problems or represents a threat to himself or others, then it is time to realize the limits of your capabilities as a counselor. That is, it is as important to know when to stop and refer a soldier to more professional help, as it is to know when to begin personal counseling. The Chaplain of your company or

battalion can provide you with a list of the specific professional counseling services available on post.

It is very important that this referral action be taken in a well planned manner, otherwise, you will destroy any trust you may have gained from the soldier. Explain that your skills as a counselor are limited and that you are afraid that you may not be able to give him or her the quality of help that the soldier needs and deserves. Tell the soldier that you think he or she should consider seeing the Chaplain (or other counselor to whom the soldier is being referred) because this person has received extensive training in helping others and would be of greater benefit in helping the soldier in this situation. Explain that this decision is up to him or her, and that you would aid by calling to make an appointment. If the soldier does not take this advice, then you may simply have to stop counseling the soldier. There are limits to the amount of time you can devote to a single soldier-- you will probably have 39 other members in your platoon who also need some attention. If you are forced to stop counseling a soldier under these circumstances, care must be taken to avoid totally alienating the individual. Let the soldier know that you are concerned, but that you simply do not have the ability to further aid him or her in their current situation. Besides a lack of time or ability to counsel a soldier, there are other reasons for making a referral

rather than continuing to counsel a soldier. For example, if you find yourself becoming emotionally involved in the soldier's problems, then you will lose the objective viewpoint needed to be an effective counselor. This is also a signal that it is time to refer the soldier to a professional counselor.

If you sincerely believe that the soldier represents a threat to himself or others, then it is your responsibility to that soldier to notify a professional counselor of this potential problem. For example, if the soldier has threatened to kill himself or his family, and he tells you that he has purchased a gun so that he can carry out this threat, then it is time to obtain help from a professional counselor. This is a very serious action and represents a breach of confidence, however, it may be necessary if the soldier refuses to see the counselor voluntarily. It is advisable that you consult your company commander or the Chaplain, and in the strictest confidence discuss the problem before making a referral to any outside agency or counselor. When maintaining confidentiality could possibly result in injury or death to any person, then you are obligated to take action and discuss the situation with your commanding officer or the Chaplain.

Mission and Men: Human Relations in Perspective

There are many other suggestions that are important for

the development of human relations skills. Perhaps the "bottom line" to successful human relations in the platoon is best summarized in a statement made by an NCO with about 25 years experience in the Army. To be an effective leader, this NCO felt that the lieutenant must keep in mind that in the Army the "mission" is always stressed but, in actuality, the correct attitude is that of "mission first and men always". At the very heart of this concept of "men always" is the realization that each individual is a human being and by virtue of that fact alone, he or she commands a certain amount of respect. You may believe that your soldiers' jobs are simple or do not demand any great skill or knowledge. However, remember that they have a different background than you and, if they do their job well, they deserve the same amount of respect that you deserve when you perform your job well. Repeatedly during interviews with NCOs and soldiers, one hears "if the lieutenant wants my respect for him as a leader, he must first respect me as a soldier and as a human being". If you remember this quote and act accordingly, you will be well on your way to avoiding human relations problems which could damage the effectiveness of your platoon.

Lieutenant-Platoon Sergeant Interactions

One important human relations situation encountered by the newly commissioned lieutenant is that of interacting

effectively with his or her platoon sergeant. Human relations skills are particularly important when you first meet this NCO and when you need to discipline him or her. These types of interactions are probably the most stressful and frequently mishandled problems which are encountered by the newly commissioned lieutenant. The stress arises from three basic differences between the lieutenant and NCO: differences in age, real and perceived differences in organizational maturity, and differences in the bases of power and influence of each of these individuals.

First meeting with the platoon sergeant. The newly commissioned lieutenant must bear in mind that the first meeting with the platoon sergeant will be critical in determining the nature of future interactions. Therefore, a lieutenant should spend sufficient time preparing for this meeting. Preparation should include a self-assessment of his or her own strengths and weaknesses. This self-assessment may help remind the lieutenant of mistakes he or she should avoid during the meeting and help build up a realistic level of confidence. In addition, the lieutenant should gain as much information as possible about his or her platoon sergeant from sources such as the company commander and other lieutenants. Perhaps the most important thing to keep in mind is that a platoon sergeant should definitely be treated with respect, but not necessarily viewed with awe.

It is possible that a platoon sergeant will perceive a

new lieutenant to be low in organizational maturity while at the same time perceiving his or her own level of organizational maturity as being higher than it really is. These perceptions may be responsible for comments or actions by the platoon sergeant which many lieutenants find intimidating or antagonistic. However, organizational maturity is a multidimensional concept. While a new lieutenant may have little insight into the informal structure of the organization and not fully understand the role which must be assumed by a platoon leader, the lieutenant does have certain technical knowledge that the platoon sergeant does not possess. It is natural that the new lieutenant will feel that the NCO deserves a certain amount of respect due to his age. The platoon sergeant may, in fact, desire a certain amount of respect. Given these two points, it is important that you first approach your platoon sergeant in a manner which communicates a certain amount of respect. For example, make it clear from the onset that you realize that he or she has more experience than you and that you would like to rely upon this experience to aid you in your decision-making.

However, remember also that platoon sergeants are human. They can and do make mistakes. Do not make the mistake of allowing the platoon sergeant to place you on the defensive. If you begin your relationship with the platoon sergeant with a defensive attitude, it may inhibit the

development of the good working relationship you need to develop with this individual. Most good platoon sergeants will not try to take advantage of the lieutenant's relatively low level of organizational maturity, however, some may. How does one show respect but not seem completely helpless or put into a defensive position? There are two points which a new lieutenant should remember. First, you do have formal authority over the platoon sergeant. This power should never be abused and, if possible, one should avoid trying to "pull rank" on the sergeant, but the authority does exist as a last resort. The second point is that you do have certain strengths as a leader; i.e., good communication skills and knowledge of the most recent technical advances. Try to maintain your self-confidence without becoming too oversure of yourself. If you approach your platoon sergeant in a self-confident way without the attitude that you "know-it-all" or that you are going to immediately take control of the platoon away from the platoon sergeant, then the "interpersonal problem" of interacting with your NCO will not develop.

Disciplining Your Platoon Sergeant

If you find it necessary to criticize your platoon sergeant's performance or reprimand him or her for a mistake, it is absolutely essential that you refrain from reprimanding him or her in front of other members of the platoon. To do this is embarrassing and would probably undermine the NCO's authority in the platoon. It is likely that the platoon sergeant would never forgive you for such action, and would probably find some way to repay the favor by embarrassing you in front of your troops or your company commander. If you alienate the platoon sergeant, this may prevent you from completing tasks assigned to your platoon.

Often the platoon sergeant knows when he or she has made a mistake. Thus, the major part of a performance counseling session with your platoon sergeant should not dwell upon reprimanding the NCO for the mistake. The primary focus of the counseling should be a mutual exchange of information leading to an understanding of why a mistake occurred and how to avoid the problem in the future. If the mistake is of a technical nature, be sure to prepare yourself before beginning the conversation. By making this preparation in advance, you will be ready if the platoon sergeant becomes defensive and accuses you of being wrong. If you doubt yourself, it is very easy to "lose your cool" and behave defensively. Do not allow this to happen because it will do more damage than good if the session turns into a

heated shouting match.

If the problem centers around a question of judgment or policy, discuss different alternatives and consequences with the platoon sergeant. It will be more constructive if you can avoid saying to the platoon sergeant "you were wrong". Rather, you should attempt to discuss the strengths and weaknesses of the sergeant's action and the actions you wish him or her to take. You may be surprised to find that such a tactic will lead to less resistance and you both may learn something in the process of your interaction. This team approach to solving problems will result in greater commitment on the part of the NCO and less resistance to future suggestions or changes that you may wish to implement. If the NCO refuses to cooperate in such a team effort, then you may have no choice but to simply say "you are wrong and this is the way this matter will be handled in this platoon". However, consider this only after all other cooperative strategies have failed.

Human Relations Skills Questions

The following questions may be used as a checklist to assess your human relations skills after entering your platoon:

1. Do you listen attentively to complaints and not intimidate the soldiers making the complaints?
2. Do you reprimand in private, rather than in public?

3. Do you know each of your soldiers as an individual?
4. When criticizing your soldiers do you offer them suggestions on how to avoid making the same mistake in the future?
5. Do you know how to put a soldier at ease in a counseling session?
6. Do you believe that a soldier who does not get promoted should be given an explanation why he or she was not promoted?
7. Do you give praise to a soldier who does a good job?
8. Do you believe in letting people know how they stand with respect to their performance?
9. Do you admit your own mistakes?
10. Do you understand your own cultural biases and those of your soldiers?

Exercise 4

HUMAN RELATIONS: Counseling -- Performance versus Personal

Introduction

Human Relations counseling may be a full time job for a lieutenant. The skills required for successful counseling include communication skills such as those practiced in exercises 1 and 2, as well as competence in the areas discussed in this chapter. You should review the sections in the chapter on performance counseling and personal counseling before attempting this exercise. The exercise focuses on settling a dispute between an E-5, Sgt. Spoon, and one of his men, Pvt. Kahn. Sgt. Rock settled the initial dispute which was close to an all out fight. Sgt. Rock felt that Pvt. Kahn was at fault and sent him to Lt. Jones to see what could be done. This type of human relations problem is quite common in any large organization, including the Army. If you can not settle these types of problems in your platoon, its performance is likely to suffer.

Objectives

The objectives for the two actors in this exercise are somewhat different. For the student assuming the role of Lt. Jones, the exercise will provide an opportunity for you to demonstrate your ability to obtain information of a

personal nature from a subordinate, understand the subordinate's problems, and provide a reasonable solution to the conflict in the hypothetical platoon. You will receive feedback from the other actor in the exercise as to how successful you were in making him or her feel at ease and talk with you. The adequacy of your solution to the problem will be presented to and discussed by the entire class.

For the student taking the role of Pvt. Kahn, this exercise will provide you with the opportunity to gain some insight into how a soldier coming to you for counseling may feel. Pay particular attention to how the behavior of the student portraying Lt. Jones makes you feel. You may provide this student with valuable feedback, while at the same time gaining insight into problems you may encounter when you begin counseling subordinates in your own platoon.

INSTRUCTIONS TO INSTRUCTOR

SEVERAL OPTIONS ARE AVAILABLE FOR CONDUCTING THIS EXERCISE. THE CLASS CAN BE DIVIDED INTO SEVERAL TWO-PERSON GROUPS. AFTER THE EXERCISE, THE CLASS AS A WHOLE CAN DISCUSS THE OUTCOME OF THE EXERCISE FOCUSING UPON THE ACTORS ONE OF HUMAN RELATIONS SKILLS. A SECOND OPTION IS THAT 3-PERSONS (OR MORE) ARE ASSIGNED TO A GROUP. THEN TWO-PERSONS PORTRAY THE ROLES WHILE THE OTHER STUDENTS ACT AS OBSERVERS. THESE OBSERVERS CAN PROVIDE FEEDBACK INFORMATION TO THE ROLE INCUMBENTS. OBSERVER RECORD FORMS ARE PROVIDED

TO FACILITATE SYSTEMATIC OBSERVATION. A FINAL OPTION IS TO HAVE TWO PERSONS PORTRAY THE ROLES WHILE THE REST OF THE CLASS OBSERVES.

PERSONS WHO PORTRAY THE ROLES OF LT. JONES AND PVT. KAHN SHOULD BE GIVEN AT LEAST 10 MINUTES TO FAMILIARIZE THEMSELVES WITH THEIR ROLE INFORMATION. THEY SHOULD READ ONLY THAT INFORMATION WHICH REFERS TO THEIR ROLE CHARACTER. THE ACTUAL ROLE PERFORMANCE SHOULD LAST ABOUT 10 MINUTES. UPON COMPLETION OF THE ROLE PLAYING, THE STUDENTS PORTRAYING LT. JONES AND PVT. KAHN SHOULD ANSWER THE QUESTIONS PROVIDED FOR EACH ROLE. QUESTIONS ARE ALSO PROVIDED TO GUIDE GENERAL CLASS DISCUSSION.

Instructions to Students

This demonstration requires two students. One person is to portray Lt. Jones, the other person is to assume the role of Pvt. Kahn. The instructor will provide you with the appropriate role information. Do not read the role information given to the other student. Study your role information carefully. Then engage in an interaction for about 10 minutes with your partner in a manner consistent with your role. When finished, answer the questions at the end of the exercise.

Role Information: Lieutenant Jones

Sgt. Rock has brought to your attention an incident which represents only one of a series of conflicts between Sgt. Spoon and Pvt. Kahn. It seems that Kahn is not following job instructions from Spoon. On Monday, Kahn came in a hour late. Sgt. Spoon was obviously upset and began reprimanding Kahn in front of the other soldiers. Kahn was visably shaken and started shouting obscenities at Spoon and then left without returning for the rest of the day. Sgt. Spoon reported the incident to Sgt. Rock who sent Kahn to you the next morning. You have a note from Sgt. Spoon regarding the incident:

Lt. Jones,

Monday morning at 0800 hours my squad began a rifle repair training session. Pvt. Kahn was absent. In the middle of the session, Pvt. Kahn came to the session. When asked why he was late, he replied that it was none of my business. When asked why he didn't bring his rifle (the soldiers were notified of this training two days before), Pvt. Kahn said that he didn't need any . . . training. The rest of the soldiers became restless and began laughing. In order to keep control, I told Kahn that he better shape up or

else I would recommend disciplinary action. After shouting obscencities at me, Kahn just walked out, without returning for the rest of the day. This is not the first time that Kahn has been insubordinate. However, this particular incident has affected the morale of the other soldiers. They were restless for the rest of the day. It seems that Kahn is an informal leader in my squad and some of the other soldiers model his behavior. These incidents must stop.

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In addition, Sgt. Rock told you that Pvt. Kahn is scheduled for a promotion to E-4, with a corresponding raise in pay next month. Rock said "this boy (Kahn) needs that promotion bad; I've seen him working at a gas station late at night. He is a good soldier, but his attitude is ruining his chances for a promotion."

In your performance records, the file for Pvt. Kahn showed that he had come from a rural town in the southeast, graduated from high school, and enlisted into the Army about two years ago. Kahn had been in this platoon for these two years. The first record of disciplinary problems was dated one year after Kahn had enlisted. This problem was a fighting incident with a fellow soldier, Spoon, who has since been promoted to a squad leader. Two other incidents

have occurred since then, both between Kahn and Sgt. Spoon. One concerned a reprimand by Spoon for a piece of equipment damaged by Kahn. Kahn felt the reprimand, a fine, was excessive. The other incident was a similar reprimand problem. The previous lieutenant from Platoon A had put a note in Kahn's folder saying he thought Kahn should be put in another squad, but that Sgt. Rock did not want this to happen because "Kahn keeps Sgt. Spoon on his toes".

You had just finished reading Spoon's note when Pvt. Kahn appeared at your door.

Role Information: Private Kahn

You have not been able to make ends meet these past few months. With a 2 month old infant, your wife cannot work to help with the income. In addition, more and more bills have accumulated. Sure, the Army provides many services, and you take advantage of all that you can, yet, the money runs out before payday. Your wife threatened to take your child and go to her mother's because "our day to day existence is no way to raise a child." To avoid this, you took a job at a gas station during the night hours. Thus, your work load is heavy and you get very little sleep. Hence, you do not have the energy to put extra effort into the training that the Army provides. With this training, you could get a promotion to E-4 with a raise in pay. However, you feel that Sgt. Spoon does not want you to be promoted. You feel that you are better qualified than Spoon, and hence, Spoon is afraid that you will get his job.

On Sunday night, you had a big argument with your wife. You stayed up all night worrying about what is going to happen to your marriage. After a couple of drinks, you went to sleep on the couch. You overslept (your wife did not wake you up as usual). As you rushed to work you wondered if Sgt. Spoon would again embarrass you in front of your fellow soldiers. When you found your squad, you realized that you had forgotten your rifle. Before you knew it, Sgt.

Spoon was asking you why you were late. It sounded more like a cruel remark than a question. You were upset and nervous. You felt that you had trouble enough without Spoon. Furiously, you told Spoon what you thought of him and in a rage of emotion, you left. Too upset to face Sgt. Spoon again, you didn't return the rest of the day. Your attitude was "so what if they kick me out of the Army, I could always get another job."

That evening you had a long discussion with your wife, recounting the incident with Spoon. She said "Why don't you talk to Sgt Rock, he is understanding, remember when he helped you before." You talked to Sgt. Rock the next morning. Sgt. Rock told you "I'd like to help you, but if I did it might cause even more trouble with Sgt. Spoon because I did not follow the chain of command." "Anyway, Lt. Jones wants to see you." Sgt. Rock also told you that Sgt. Spoon had sent a note to the lieutenant. You were worrying about what might be in that note. You are also reluctant to talk to the lieutenant about your personal problems.

Questions

Lt. Jones

1. What personal problems does Pvt. Kahn have which might be interfering with his attitude toward the Army? What can you do, or suggest, as a lieutenant to help Kahn?
2. How might Pvt. Kahn be disciplined for his insubordination?
3. From talking to Pvt. Kahn, could you put yourself in his place? What are the advantages and disadvantages of doing this?
4. Did Sgt. Spoon react appropriately when Pvt. Kahn came in late to the training session? How should he have behaved?

Pvt. Kahn

1. Did your talk with Lt. Jones reveal the personal problems that are interfering with your job?
2. Did Lt. Jones ask relevant questions concerning the incident with Sgt. Spoon? What important questions did Lt. Jones not ask?
3. If you were Lt. Jones, what would you have done differently? What would you have done to Pvt. Kahn?
4. As Pvt. Kahn, how reluctant were you in talking about your personal problems with Lt. Jones?

Observers

1. How soon in the counseling session was Pvt. Kahn's problem revealed? Did Lt. Jones' questions reveal Kahn's problem, or did Kahn voluntarily state the problem?

2. Did Lt. Jones suggest several solutions to help with Kahn's problem? Were these solutions realistic? Did they interfere with Kahn's job?

3. Suggest ways that Lt. Jones may have disciplined Kahn for insubordination which would complicate, rather than solve, Kahn's problem. What are some long term and short term solutions to Kahn's problem?

OBSERVER RECORD

Instructions: check the appropriate box if the behavior was observed in the actor's role.

Behavior

Role

Lt. Jones

1. Paid attention to other
2. Gave eye contact to other
3. Body orientation toward other
4. Occasionally nodded head
5. Occasional short verbal remarks
6. Interrupted the other person
7. Put words in the other person's mouth
8. Asked questions for information
9. Asked questions for clarification
10. Spoke audibly
11. Used appropriate vocabulary for role
12. Spoke slowly when topic was complex
13. Used appropriate tone of voice
14. Asked if other person understood

How would you characterize the communication: one-way or two-way?

If the latter, in which direction? Does this seem to have any relationship to the above checklist?

Exercise 5

HUMAN RELATIONS: Cultural Biases and Stereotypes

Introduction

The chapter you have just completed discussed the problems which might arise from conflicting cultural biases and stereotypes. A platoon leader may be required to lead a group of individuals with very different cultural backgrounds. Consequently, there is always the possibility that conflicts may arise when biases or stereotypes cause soldiers to misinterpret the actions and behaviors of other soldiers. If these conflicts are not promptly attended to by the platoon leader, they may develop into major problems and prevent the platoon from functioning as a cohesive unit. A successful solution requires the intervention of an individual with awareness of the cultural biases involved and well developed human relations skills. The individual must be able to listen to both sides of a dispute in an impartial manner.

Objectives

In the present exercise, you should begin to formulate alternative plans to solve problems which arise due to the different cultural backgrounds of platoon members. After reading the description of an incident which occurred in the hypothetical Platoon A, it will be your job to outline a

plan of action that you would take if you were in the position of Lt. Jones, the platoon leader. In an actual Army setting, your success or failure to adequately resolve the problem would have an important effect upon the human relations climate of your platoon and its future performance. You may also be required to report to your commanding officer and explain why the incident has occurred and the steps you intend to take to resolve the problem.

In this exercise, you are also required to analyze the possible reasons for the described incident and to outline a plan of action you will take to resolve the problem. These answers will be presented to your instructor and to your class so that you may benefit from their criticism and comments.

Remember that the primary goal of the exercise is not to defend your answer as the only correct solution to the problem, but rather, to gain as much insight as possible into different courses of action which may be available to a platoon leader in this situation.

INSTRUCTIONS TO INSTRUCTOR

THIS EXERCISE IS DESIGNED TO BE COMPLETED BY THE STUDENTS INDIVIDUALLY AND THEN DISCUSSED BY THE CLASS AS A WHOLE. THE CLASS DISCUSSION IS A VERY IMPORTANT ASPECT OF THE EXERCISE. TO FACILITATE THIS DISCUSSION AND PROVIDE MAXIMUM TIME FOR CLASS INTERACTION, IT IS RECOMMENDED THAT THE STUDENTS COMPLETE THE FIRST PART OF THE EXERCISE BEFORE COMING TO CLASS.

Instructions to Students

Place yourself in the role of Lt. Jones, the platoon leader of Platoon A. After reading all of the relevant information, develop a plan with the specific steps you would take to solve the problem. You will be provided with the opportunity to present your plan to the class and explain why you have selected your course of action. The class discussion questions for this exercise may be used as a guide for both formulating your plan and also as a framework for evaluating the plans of other students.

Role Information

You are Lt. Jones. It is Monday morning, and you have just returned to your office after being out of town on a three day leave. On your desk are the following reports, memos, and notes.

Military Police Report

At 0100 hours on Sunday, July 8, 1979, we received a call to break up a fight at the Enlisted Persons Club. When we arrived at the scene, five soldiers were involved in a fight in the parking lot. The men were ordered to stop fighting but they did not respond. Eight MPs were required to physically separate and restrain the five soldiers. A large crowd had gathered and several by-standers began shouting obscenities when the officers arrived. Lt. Troy, the MP officer in charge, decided it was best to remove the men involved in the fight from the immediate vicinity. All five soldiers were then taken into custody and transported to the base MP headquarters.

The fight appeared have started over a race-related argument. Three of the participants; Pvt. Greene, Pvt. Thompson, and Pvt. Saith are black while the two of the soldiers, Pvt. Slusher, and

Pvt. Stone, are white. Pmts. Slusher and Stone charged that the three black soldiers had "jumped them" as they were leaving the club. According to Slusher and Stone, the five had a heated exchange in the club while drinking. Slusher and Stone then left the club. As Slusher and Stone approached their car, the black soldiers allegedly jumped them from behind, and the fight started.

Pmts. Greene, Thompson, and Smith reported a different version of the incident. According to these soldiers, they had been in the club drinking and minding their own business when Slusher and Stone entered the club and began drinking at a table next to them. Slusher and Stone allegedly became abusive and started making obscene and racially derogatory comments to the black soldiers. The black soldiers knew Slusher and Stone and assumed they were just drunk. Since the men were all in the same platoon, they did not want to start a fight and Pvt. Greene allegedly told Slusher and Stone to "cool it" and get lost or he would tell the club manager that Slusher and Stone were drunk and trying to start a fight. Slusher and Stone then left the club. A few minutes later, Greene, Smith, and Thompson also decided to leave. As they headed to their

respective cars, Smith and Thompson heard Greene yell as Slusher and Stone allegedly attacked him. Smith and Thompson ran to help their friend, and the fight developed.

No witnesses were available to confirm or deny either version of the story. All of the men had been drinking and no one appeared seriously injured in the fight. Pvt. Smith appeared very nervous and asked permission to call their platoon sergeant, Sgt. Rock. The request was granted, and Sgt. Rock arrived at headquarters approximately 45 minutes later. It was now 0400, and the soldiers appeared to be sobering up. All five men appeared to have respect for Sgt. Rock, and when he requested that the men be released into his custody, it was decided that this would be the best alternative. Pvts. Smith, Stone, Slusher, Greene, and Thompson were released into the custody of Sgt. Rock at 0455 hours.

Report filed 7/8/79

Office Lt. Troy

In addition to the above police report, the following two notes are on your desk.

Lt. Jones,

Five of your platoon members were involved in a fight at the Enlisted Persons Club on Saturday night. The MPs reported the incident to me this morning. As you can see by the report on your desk, it is unclear what happened. I want a full report from you as to what really happened and why. I'll expect to see you in my office by 1400 this afternoon with a complete explanation for the incident and what you plan to do about it.

Capt. Wallis

Lt. JONES —

Five of our men were involved in a fight at the Enlisted Club on Sat. night. The MPs picked-up all five of them. Pvt. Smith called me and I was able to convince the MPs to release all 5 men into my custody. I had a long talk with each of the men. I still do not know for sure what happened but I am sure that the problem has something to do with the incident which occurred between Sgt. Spoon and Pvt. Thompson.

See me as soon as you get in —

Rock

The incident referred to in Sgt. Rock's note was a particularly troublesome problem that had occurred on Thursday, July 5. Apparently, Sgt. Spoon had been barking orders at his squad all morning and when he ordered Pvt. Smith to go clean out the latrines in the barracks, Smith refused on the grounds that Spoon was prejudiced and only gave such tasks to him and other black soldiers. Sgt. Spoon uttered some racial slur that upset several members of the squad. The incident might have become a brawl had not Sgt. Rock arrived on the scene and taken Spoon aside, reprimanded him, and taken charge of the squad himself. Before you left Friday morning, you sensed that there was a lot of tension in the platoon. There had been several racial incidents in the platoon before you took command. You hoped that the incident between Spoon and Smith did not mean future problems.

Obviously, you were wrong and the problem is now staring you right in the face. You have until 1400 to find out what is really going on and come up with some possible answers.

After reading the above information, outline the steps that you would take. Be prepared to justify why you would take these actions. You may find the following questions helpful in preparing your answers for the class discussion. Prepare the plan on your own.

Discussion Questions

1. Is it possible that cultural differences are involved in this incident Why?
2. What role might cultural biases and stereotypes play in the problems of platoon A?
3. Would you concentrate your efforts on finding out who started the fight at the club Why Why not?
4. How would you discover what really caused the fight?
5. Would you discipline the soldiers involved in this fight? If so, what punishment would you recommend?
6. How would you involve the captain in your efforts to solve the problem?
7. How would you involve Sgt. Rock in your efforts to solve the problem?

Self Assessment

Given the information provided in the exercise it should be obvious that cultural biases and stereotypes played an important role in the incident. The fact that racial comments were made in the club is an obvious clue to this fact. Furthermore, such stereotypes and biases are often most problematic when individuals have been drinking and their behavior is less restrained by concern for others or concern for the possible consequences of acting out their feelings.

If faced with an incident such as the one described in this exercise, your efforts should be focused upon finding the cause of the problem. Trying to establish who started the fight is representative of paying attention to symptoms rather than the problem itself.

The question of disciplining the soldiers involved in the fight has no easy answer. If you did discipline the soldiers yourself, the discipline should be applied equally to all individuals, since the establishment of guilt may be impossible. However, it may be unwise or unnecessary to discipline the troops yourself. Since the MPs were involved in the incident, disciplinary action is likely to be forthcoming from the company or battalion level. This is one aspect of the solution in which it may be very wise to involve the company commander. Remember that you must

recognize the limits of your authority, while at the same time not acting in a manner which might be perceived as condoning such actions.

Sgt. Rock should play an important role in your plan to solve the problem. He is likely to possess a great deal of information about the tension in the platoon and obviously has the respect of most of the soldiers involved in the incident. Meeting with Sgt. Rock would be the first step in effectively dealing with the problem.

The company or battalion chaplain and/or race-relations officer would be another individual to consult early in your efforts to improve the situation, perhaps as the second step in your plan. This individual may be able to provide you with valuable information and actual assistance in talking with the soldiers involved in the fight. The third and fourth steps in your plan might be to obtain information concerning the disciplinary action which may be taken against the soldiers by higher military authorities and to interview each soldier individually.

After obtaining all of this information you might arrange a meeting of all of the individuals who were in the fight. Since the men must work together in the platoon, it would be advisable to try to settle the dispute in a well controlled setting so as to avoid future problems. Sgt. Rock and perhaps the chaplain might also attend this meeting to help maintain a calm and stable atmosphere, particularly

if you foresee a resumption of the argument between the two groups of soldiers. The focus of this meeting should be upon the stereotypes each group has of the other and the ways these biases may be causing problems by distorting perceptions and causing defensive and hostile behavior.

You might arrange a seminar in race relations to be attended by the entire platoon, if you feel that the tension in the platoon exists because of widespread human-relations problems. The soldiers should be informed of the company commander's concern about the problem. It is important that the Captain be kept well informed of the problem since his backing may be needed to transfer or release from the Army any individual who refuses to cooperate with efforts to solve the problems in the platoon.

Finally, in carrying out all of these actions, your behavior must be absolutely impartial with respect to treatment of soldiers of different races. If you advocate a policy of equal treatment but allow your own cultural biases to influence your behavior, then your efforts will likely be futile.

Understanding the Formal and Informal Structure of Your Platoon, Company, and Battalion

The manner in which a task is performed may frequently be different from the recommended formal procedures of the organization. In the Army, the formal organizational structure involves an officer and NCO chain of command. Quite often tasks are completed with the use informal organizational structures and procedures. Figure 4-1 presents a chart illustrating the typical formal Army organizational structure from the battalion level down. The solid lines indicate the formal chain of command which should be used. This formal chain of command and organizational structure should already be familiar to you since it probably has been discussed in other courses.

Three Types of Informal Organizational Structures

It would be impossible, and probably misleading, to present you with an organizational chart illustrating the "typical" informal structure which might exist in your company or platoon. This specific knowledge can be gained only after you enter your unit and establish the necessary communication channels with personnel in the unit. At this stage of your development as a leader, you should be aware of the possible existence of such structures. We will attempt to explain why such structures exist, how they may

be identified, and finally, how you might be able to use them to accomplish platoon goals.

The complimentary by-pass structure. Often an informal organizational structure exists because the formal organizational structure does not function effectively. Thus, if an officer in the formal chain of command does not, or is not able, to perform a job effectively, then an informal structure may develop which allows for the flow of information and/or power to bypass this link in the formal chain of command. Who will be involved in this informal structure? The informal structure will probably consist of one or more individuals who have information and access to resources which will help the unit accomplish its mission. The information and resources to which members of the informal structure have access must be the same as those information and resources controlled by the officer occupying the formal organizational position which is bypassed. Frequently, the individuals who have access to information and control over the resources are NCOs who are already part of a formal organizational structure. In the informal structure, they assume control or authority which is not officially a part of their position in the formal organizational structure.

The situation described above represents one possible reason for the existence of an informal organizational structure. Structures which develop for this reason are

often beneficial to an organization and help to complement the existing formal structure. In fact, in some cases such a structure may have the unofficial sanction of the members of the formal chain of command. This may be the case when officers simply do not have the time to perform all of their functions due to a shortage of officers or an unusually heavy work load. Under these conditions, there would be little resistance toward the involvement of a competent NCO who could assume some of the duties which would normally be performed by an officer.

Informal communication channels. Informal structures may exist for other reasons. Soldiers may wish to receive information faster than the time it takes for the information to filter down through the formal chain of command. Sometimes these soldiers do not trust the accuracy of the information given to them by members of the formal organizational structure. They may suspect, for example, that the information that they are receiving is not complete. As a result, an informal communication network may develop. This structure is normally referred to as the "grapevine". Knowledge of, and access to, the information flowing through this communication channel will be very beneficial to the efforts of a new platoon leader. Who is involved in the "grapevine"? There are many possibilities and these usually include individuals who have the opportunity to see or hear the information flowing through

the formal communication network. For example, a radio or telephone operator may have the opportunity to overhear many conversations, and thus, can obtain large amounts of information. NCOs working at the company and battalion level may also be possible sources of information for the "grapevine". There is a great deal of formal and informal interaction between NCOs at all levels in the company or battalion. Frequently these informal interactions represent the means by which information passes into the "grapevine".

Antagonistic informal structure. A final reason for an informal structure is the general discontent which may reside among the soldiers in a unit. This is the most detrimental type of informal structure. It is also very difficult for a non-member to gain information about this informal structure. These informal structures exist because soldiers do not feel that the formal organizational structure is responsive to their needs. Under these conditions, individuals may be able to gain power with a unit by promising to improve the situation. In some cases, power may be gained by simply demonstrating open resistance to members of the formal organizational structure.

Keep in mind that, although these informal structures develop for different reasons, they may on occasion complement each other. For example, an informal leader who represents the discontented members of the unit may "tap into the grapevine" to obtain knowledge about future actions

which will affect the unit. The key individuals in the two structures may not always be the same. For instance, it is unlikely that a senior NCO will play a role in an informal power structure that has evolved from discontent. This type of informal structure often creates numerous problems for NCOs, particularly the platoon sergeant. The leader of this type of informal structure is likely to be the type of individual who is often labeled as a "rebel" or "troublemaker." In some cases, he or she may be a former NCO who was "busted" for disciplinary reasons. These informal leaders are often able to maintain their influence over other soldiers because they have qualities of an effective leader such as good communication skills and well developed technical skills.

Identifying Informal Structures

We have now discussed three reasons why an informal structure may develop. If you have reason to believe that an informal structure exists, then you should use your communication and human relations skills to gain a better understanding of the dynamics which are responsible for the situation. You should spend time talking with your NCOs and soldiers. In this way you will be able to learn how your soldiers feel about being in your platoon. You will also be able to determine which individuals control company resources and which persons are the most reliable sources of

information. Upon establishing the trust of these individuals you will be able to determine those persons you need to contact to accomplish a task in the most efficient and reliable manner. You will also be able to identify informal leaders whose actions are contrary to the mission of the unit.

The Use of Informal Organizational Structures to Achieve Organizational Goals

How might the informal structure be used to help achieve the goals of the formal organization? Before discussing this topic, it should be mentioned that the formal chain of command should be followed whenever possible. Formal organizational structures exist in order to clearly delineate the responsibilities and authority of individuals occupying different positions in the organization. When using the formal chain of command delineated in this organizational structure, your orders must be obeyed or subordinates will be subject to formal disciplinary action.

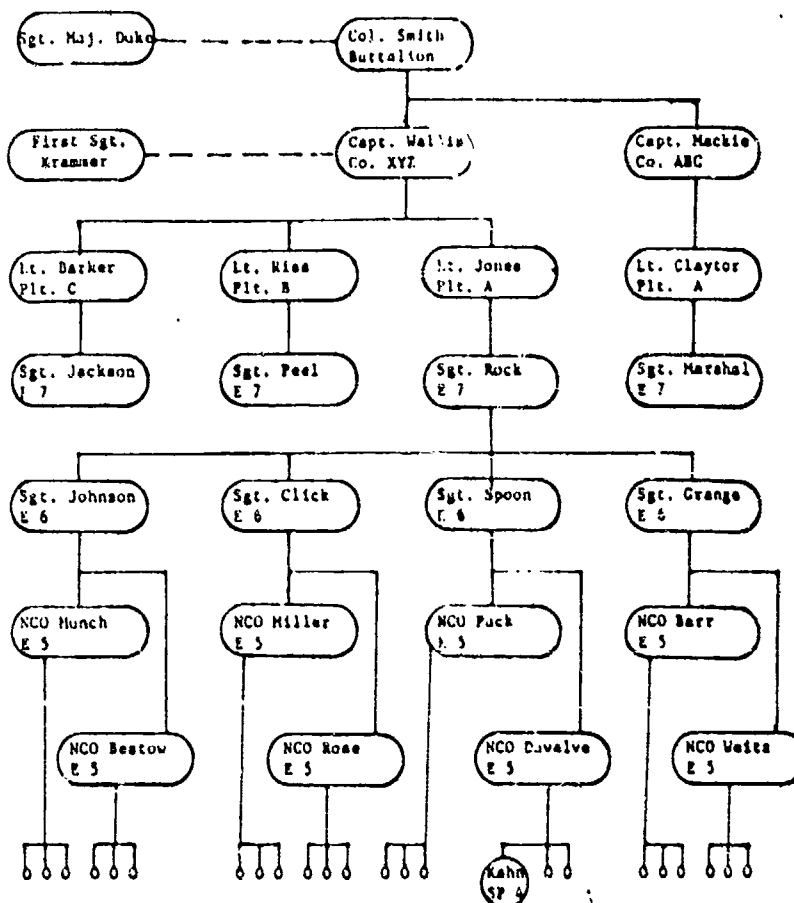
The danger inherent in using informal organizational structures is that experience rather than formal rank is the most important factor determining an individual's influence. Since the newly commissioned lieutenant has a very low level of organizational maturity, he or she will have little influence within informal structures. If you, as a platoon

leader, attempt to make use of informal structures there is no guarantee that you will have the authority to influence other individuals. Furthermore, if you fail in your attempt to use the informal organizational structure, this may influence the respect the platoon members have for you as a leader. Thus, if you attempt to use an informal structure, it may have an effect upon your ability to function within the formal organizational structure. The primary reason for presenting a discussion on the use of informal structures is to give you some insight into the manner in which structures function and the possible ways in which the informal structure can be used to supplement utilization of the formal chain of command.

Complementary by-pass structures. To use an informal structure which has evolved for the purpose of supplementing the formal structure, you must obtain the help of individuals controlling the resources needed to accomplish your mission. Critical Incident II provides an illustration of when such action might be taken.

FIGURE 4-1

FORMAL ORGANIZATIONAL CHART



Critical Incident II

Lt. Claytor was pacing back and forth in front of his platoon. They had been waiting for 45 minutes for Pvt. Brown to return from the motor pool with a truck needed to transport the platoon into the field for a training exercise. The first time Lt. Claytor had scheduled the training exercise he had to cancel his plans because motor pool had no trucks available for his use. This time he had talked to Lt. Barker, the company motor pool officer, and requested that Barker authorize him to obtain a truck that morning. Barker said that he would take care of the matter. Claytor could not figure out what was delaying Brown. At that moment Brown returned in the same jeep in which he had left with no truck.

"Sorry to take so long Lieutenant, but motor pool says that they were never authorized to give us a truck and that Lt. Barker was gone for the rest of the day," Brown reported as he climbed out of the jeep.

Lt. Claytor was obviously mad, but he knew that without Barker available to authorize the truck he could never conduct his field training exercise. He might as well turn the troops over

to Sgt. Marshal, his platoon sergeant, who hopefully could find something for the soldiers to do. When Claytor started explaining the situation to Sgt. Marshal, Marshal interrupted him and said, "Look Lieutenant, the men are really up for this training exercise. They are tired of doing busy work and if we cancel this exercise today we are really going to have some morale problems. Besides, they desperately need the training for the up-coming Battalion FTX."

"I know that, Sergeant, but motor pool would not give Brown a truck and Lt. Barker is not available. I guess I could try to contact Capt. Mackie, but by the time he authorized use of the truck it would be too late to go on the exercise," said Claytor.

"Sir, if you don't object, I know Sgt. Kramer (First Sgt. Kramer is the company level supply NCO) pretty well, and I think I can get us a truck in about five minutes." As Marshal was finishing this sentence he was already headed to the telephone. Two telephone calls later Sgt. Marshal was headed out of the building where he had used the phone. Just as he reached Lt. Claytor to report the results of his efforts, a truck and driver arrived from motor pool.

As the men were getting in the truck, Sgt. Marshal turned to Lt. Claytor and said, "You see Lieutenant, if you will just let me, I can make this whole operation run a lot smoother. After all, I haven't spent the last 14 years in the Army doing nothing."

Informal Communication Channels

Just as information flows both up and down the hierarchy of a formal structure, it likewise does so in the informal structure. The information flowing up the communication channels comes from soldiers at the platoon level. Thus, if you can gain access to the "grapevine", you should be able to gain some insight into how your troops feel about your leadership capabilities and their general reactions to the work environment. This information will allow you to diagnose the causes of dissatisfaction which may develop in the platoon. Once you identify the causes of discontent, you may take prompt action before a major problem develops and disrupts the performance of your unit. However, caution should be taken in reacting to this information. Be aware that the information flowing through the "grapevine" may possibly lack credibility.

False information may travel down as well as up the informal communication network. The information flowing down to the soldiers may include false rumors which could create tension in the unit and disrupt performance. If you have definite verification that such information is false, you may be able to counteract the effects of the rumor by giving your troops correct information via the formal chain of command.

Antagonistic informal structures. If you discover an

informal structure which has developed due to discontent among your soldiers, this does not necessarily preclude the possibility that such a structure may also be used to further accomplish formal organizational goals. The major issue is whether the informal leader is determined to act against you or is merely reacting because the individual has no constructive way to express his or her dissatisfaction. This situation may arise when a subordinate with good technical and leadership skills perceives problems in the platoon but feels unable to influence the formal leadership of the unit. By including the informal leader as one of those subordinates whom you seek information from before making decisions, you will probably gain the respect of the informal leader. Under these conditions, the informal leader will be oriented toward accomplishment of the same goals that you are.

If the informal leader is motivated simply for personal power and is not cooperative, then the new lieutenant is faced with a situation which could jeopardize the efficiency of the platoon. These conditions could, in fact, result in a struggle for power between the lieutenant and the informal leader. The next chapter addresses the issue of power and influence and what might be done to deal with this particular conflict.

Exercise 6

THE FORMAL AND INFORMAL ORGANIZATIONAL STRUCTURE

Introduction

Informal organizational structures may develop in any active organization and typically serve two functions. They provide a pathway or channel for the flow of information and they define relationships between member of the organization which exist outside of the formal organizational structure.

The formal and informal relationships between the members of military units typically lead to the development of informal group structures within the units. One task which a platoon leader must accomplish is to identify these informal structures that exist and those company and platoon members who are involved in these informal structures. Normally this information could be obtained through conversations with members of the company and also from observations of the platoon and company. As previously discussed, the importance of this information is that it will provide the platoon leader with a better understanding of the manner in which his or her platoon functions within the company. Identification of the informal structures may also allow the lieutenant to anticipate possible conflicts which may develop between the formal and informal organizational structures. If use of formal organizational procedures fails, the knowledge of informal organizational

structures may provide the platoon leader with alternate means of accomplishing the platoon goals.

Objectives

The primary objective of this exercise is to provide you with an opportunity to attempt to identify possible informal structures which may exist in an Army Battalion. If you were in an actual Army setting, you would be required to gather the information needed to identify these informal structures by interacting with and observing members of the unit. In this exercise, the information needed to identify the relationships existing between members of possible informal structures is contained in the written descriptions of several members of the battalion, a formal organizational chart of the Battalion, and a description of a Battalion operation. A new lieutenant must use all available information to decide what informal structures might exist and to identify the members of these structures. In a similar manner, you may find that the information you have gained about Company XYZ from previous exercises may aid you in your task of identifying the informal structures in the Battalion. Remember that the insights that you gain in this exercise may be critical not only to your performance in the next exercise but also your effectiveness as a leader in your first platoon.

INSTRUCTIONS TO INSTRUCTOR

IN THIS EXERCISE, STUDENTS SHOULD FIRST WORK INDIVIDUALLY TO IDENTIFY THE RELATIONSHIPS BETWEEN MEMBERS OF THE INFORMAL STRUCTURES IN THE HYPOTHETICAL BATTALION. EACH STUDENT SHOULD ALSO IDENTIFY POSSIBLE CONFLICTS WHICH MIGHT OCCUR BETWEEN THE FORMAL AND INFORMAL CHANNELS OF INFLUENCE IN THE BATTALION. IF CLASS TIME IS LIMITED, THE STUDENTS MAY COMPLETE THESE TASKS PRIOR TO THE CLASS PERIOD IN WHICH THE EXERCISE WILL BE DISCUSSED. CLASS DISCUSSION IS ESSENTIAL TO THIS EXERCISE. DURING THIS DISCUSSION, STUDENTS SHOULD PRESENT THEIR IDEAS CONCERNING WHICH BATTALION MEMBERS INFLUENCE OTHER UNIT MEMBERS THROUGH INFORMAL CHANNELS AND POTENTIAL CONFLICTS WHICH MIGHT OCCUR. STUDENTS SHOULD BE ENCOURAGED TO COMMENT UPON AND IN SOME CASES CHALLENGE THE IDEAS OF THEIR CLASSMATES.

Instructions to Students

In this exercise you will be presented with three types of information. You will be given a formal organizational chart of a Battalion. You will also be given description of several members of the battalion. Contained within each description is information about the behavior and beliefs of the person being described and a description of the relationships that individual has with other members of the battalion. The final source of information will be a brief description of the manner in which Company XYZ and Platoon A

prepared for a recent Field Training Exercise.

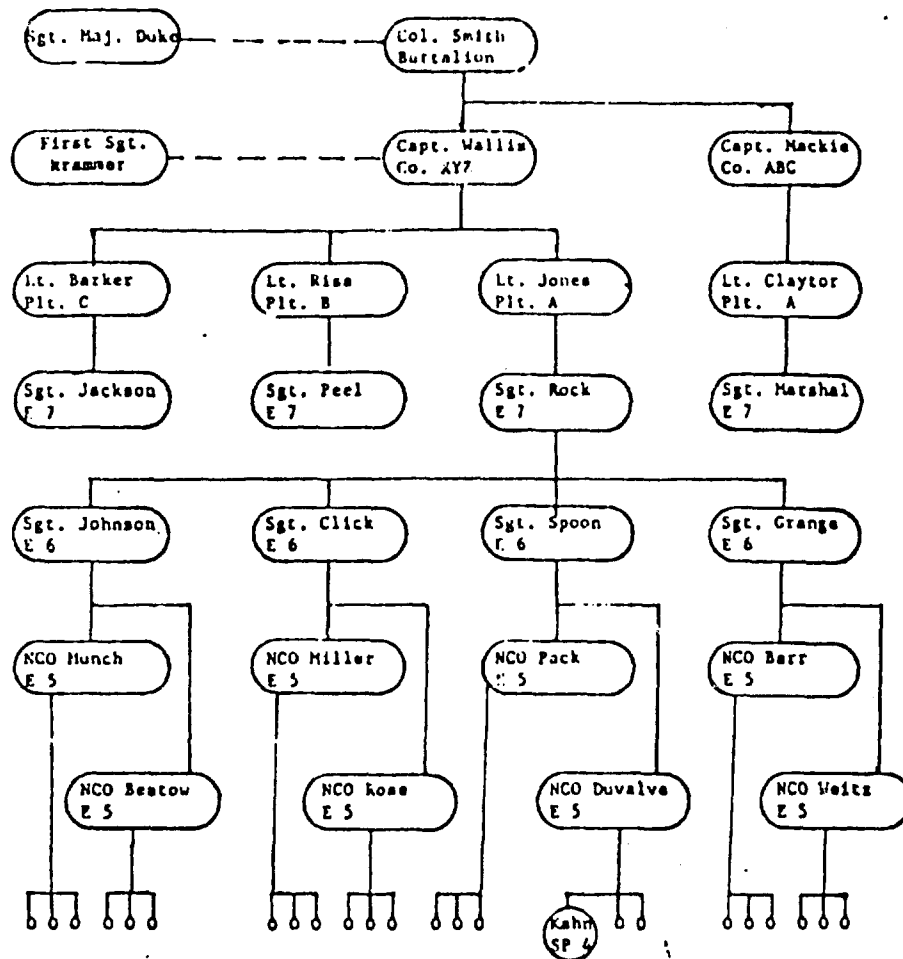
You will have two tasks to complete in the exercise. The first task is to identify possible informal organizational structures which may exist in the Battalion. You should prepare a brief paragraph or outline describing the informal structures that you think may exist. As part of this task you should also illustrate the relationships between members of the informal structure on the formal organizational chart provided in the exercise. To do this, you should place dotted lines on the chart connecting the names of those individuals whose informal relationships might serve as a means to accomplish organizational goals. These functional relationships may enable unit members to by-pass or supplement the formal organizational structure.

The second task is to identify possible conflicts which may occur due to the existence of both formal and informal channels of influence in the same unit. You should prepare a list of these conflicts with a brief explanation of why you believe each conflict may occur.

Your instructor may ask you to complete the above tasks before the class period in which the exercise will be discussed. During the class discussion, you will present your answers and the class will comment upon and evaluate each student's efforts. If you feel that you have gained a particular insight into the identification of informal structures, the functioning of these structures, or their

relationship with formal organizational structures, you should share this with the class.

FORMAL ORGANIZATIONAL CHART



Persons and Positions in the Battalion

Colonel Smith

Col. Smith served 3 years in Vietnam and is very well respected by his troops and in the Brigade. He has an open door policy and believes that problems can only be solved by confronting them "head-on." When Col. Smith was a captain in Vietnam, Sgt. Rock served under him. After several transfers, both are again serving in the same unit. Col. Smith has a high respect for Sgt. Rock's technical expertise. When Col. Smith first became battalion commander, Capts. Wallis and Mackie had just been promoted and were in their first company commander positions. Smith saw much potential in these men, but felt that Mackie was a better overall leader because of what he called "being able to put yourself in the soldier's shoes." 1st. Biss and Claytor had good communications with Col. Smith. Col. Smith thought that Lt. Jones seemed to have potential, but he was inexperienced. On several occasions Col. Smith, Capt. Mackie, and 1st. Biss, Claytor, and Jones talked at the Officers Club about their experiences with some of the more "unique" soldiers. These talks usually ended up with the senior officers exchanging war stories. Col. Smith disliked 2nd Lt. Barker because he felt that Barker was not doing his fair share of the work, delegating all of it to Sgt. Jackson. Col. Smith did not know many enlisted personnel

except for some of the platoon sergeants. He let the lieutenants handle the platoon matters.

Captain Wallis

Capt. Wallis has a reputation for demanding much from his subordinates. He may be called a punitive leader because he does not praise for a job well done as much as he reprimands for a job poorly done. For instance, in the last Field Training Exercise, Lt. Riss put in extra effort, working long hours to prepare his platoon for field training. According to Col. Smith and other Brigade inspectors, Lt. Riss's platoon was outstanding and deserving of praise. Barker's platoon made a poor showing because one of his squads got lost in some thickly wooded areas. Capt. Wallis never told Riss that he had done a good job and Wallis reprimanded Barker for being a bad leader. Both lieutenants were upset with Wallis' "insensitivity" to their situation.

Capt. Wallis has good two-way communications with the other company commanders in the battalion. However, with his subordinates, Capt. Wallis strictly adheres to the chain of command. The only exception to this is Capt. Wallis's interaction with Sgt. Rock. He realizes that Sgt. Rock has a different philosophy of leadership but that Sgt. Rock is always ready to help First Sgt. Kramer if the need should arise. This indirectly helps Capt. Wallis.

Lieutenant Jones

Lt. Jones can communicate openly with Col. Smith, Capt. Wallis, and Lts. Riss and Barker. Jones thinks highly of Lt. Riss, especially since Sgt. Rock told him that Riss is the best lieutenant in the Company. Lt. Jones is modeling Riss's leadership style and Lt. Riss is willing to help Jones learn the duties of a lieutenant. Lt. Jones is proud to work with Sgt. Rock, although he is concerned whether Sgt. Rock will allow him to "take charge" of the soldiers once he has "learned the ropes." Both Capt. Wallis and Lt. Riss warned Jones of Sgt. Rock's paternal attitude toward his men.

Lt. Jones is familiar with his squad leaders Johnson, Click, Grange, and Spoon. Of these four, he feels that Johnson has the best potential for a leadership role. Johnson's men, Munch and Bestow are well trained and capable of doing any assignment that they are given. Lt. Jones makes it a special point to occasionally stop by and watch these men in action. Lt. Jones considers Sgts. Click and Spoon as average performers who have yet to develop the full capabilities of their soldiers. There is a special problem in Spoon's squad. It seems that much conflict exists between Spoon and private Kahn. After a counseling session with private Kahn, Lt. Jones was pleasantly surprised by the amount of technical knowledge possessed by Kahn. However, Jones was worried that Sgt. Spoon's behavior would

discourage Kahn from seeking further training and promotion to an NCO. Lt. Jones occasionally stops by to see Kahn and his fellow soldiers to check up on how they are performing. Sgt. Rock feels this is unnecessary, but Lt. Jones wants to avoid any further conflict in this squad.

Sergeant Rock

Sgt. Rock has known Col. Smith for a number of years and had served under him when Col. Smith was a captain in Vietnam. When Colonel Smith has a special job to be done he usually assigns it to Sgt. Rock. Sgt. Rock prides himself on being able to tackle any job that might arise. Both he and Sgt. Jackson have the same attitude about their roles as platoon sergeants: "As I see it, our jobs are to lead, supervise, and train the platoon. The lieutenant does not have the time to keep the soldiers working on their jobs every day. If I have to put twelve hours a day into my platoon, I will. The soldiers are my responsibility and I better well have the authority to fulfill my responsibility." For these reasons, both Sgt. Rock and Sgt. Jackson end up doing most of the work in the platoon. They never complain because they feel this is their job and they take pride in a "job well done".

Sgt. Rock feels that Lt. Jones will be a good leader. He realizes that Jones allows him more freedom than have other lieutenants. Nevertheless, Lt. Jones keeps telling

him that "after you teach me the ropes here, I am going to take charge of those ropes and tighten up the slack". Sgt. Rock knows that Jones is trying hard to be a good leader, and respects him for that. But, if Jones were to become unreasonable, Rock could pass a few comments to his friend, Sgt. Major Duke. These comments would eventually return to the lieutenant and "straighten him out". Since their first meeting, Lt. Jones and Sgt. Rock have come to agree on "how best to get a job done" (see exercise 2). Sgt. Rock concedes that in the majority of cases, if one plans wisely, then "the job can be done by the book." On the other hand, Lt. Jones realizes that poor planning frequently results in having to do a job any way possible; even if the method does not agree with standard operating procedures. Lt. Jones and Sgt. Rock now have regular planning meetings at least once a week.

Sgt. Rock also communicates well with Lt. Riss because the two have worked together in the past. But Rock knows that Jones seeks advice from Riss and he knows that Riss does not care for his informal way of getting the job done. Rock is good friends with Sgt. Jackson and they often help each other. Lt. Barker, Sgt. Jackson's platoon leader, does not get along well with Sgt. Rock. The problem is that Barker feels that Rock sometimes takes advantage of Sgt. Jackson. In turn, Sgt. Rock does not respect Lt. Barker because he feels that Barker tries to take advantage of Rock

by exploiting Rock and Jackson's good working relationship.

Sergeant Peel

Recently promoted, Platoon Sgt. Peel attributes his promotion to Lt. Riss. Both he and Lt. Riss work closely together in platoon operations. Lt. Riss makes the decisions and Sgt. Peel is given the freedom to carry out the decision in the manner he deems most appropriate. Peel describes this working relation as: "... a team approach to platoon operations. Even though Lt. Riss is my superior, he is more concerned with working relationships than authority relationships." Sgt. Peel is friends with Sgt. Rock and Jackson, but he feels that their style of leadership could not work for him. "There is no way that one man can be responsible for all the work in supervising a platoon of men. Sooner or later something will go wrong and the leader's attention will be taken from the rest of the platoon. This results in crisis management for which the leader spends his or her time resolving one problem after another."

Sergeant Johnson

Sgt. Johnson, an E-6, has the best squad in the platoon. His team leaders, Munch and Bestow, have trained their men very well. He feels that the "tough jobs in the platoon are given to our squad because we can handle them."

Johnson is proud of his work and hopes to be promoted to platoon sergeant within the next year. He and Sgt. Rock have a good working relationship. "Sgt. Rock trained me well and I have given this training to my squad leaders. Our squad has more promotables than any other squad in this platoon." Sgt. Rock said that "Johnson's squad is the best around. If his men were to go to BNCO and Johnson was to attend ANCO schools, then they would be promoted quickly. But, I need them around here to do special jobs because of their reliability and exceptional performance." Lt. Jones also recognizes the talent in Johnson's squad.

Sergeants Click and Spoon

Sgts. Click and Spoon are buddies. They were promoted together and they work closely together on many assignments. They realize the proficiency of Johnson's section but they dislike the "special treatment" that Johnson gets from Sgt. Rock. They feel that by virtue of being in the same position as Johnson, that they should get the same opportunities for training and promotion. The soldiers who serve in the squads of Click and Spoon are average performers. The one exception is Kahn who is capable but is hurting the morale of Spoon's squad due to his poor attitude. Specialist Kahn had previously worked under Sgt. Johnson for a year and became discouraged when Spoon did not treat his subordinates in the same manner as Johnson.

Field Training Exercise

Company XYZ was preparing for a ten day Field Training Exercise (FTX). Lt. Jones had several things to do before his platoon could enter the field. First, being the company fire arms officer, he had to make sure that all the firearms in the company were operating perfectly. He had to rely on Sgt. Rock when various weapons needed repair. It was a good thing that he was able to give Sgt. Rock this task because Rock knew where to go to get special equipment repaired. For instance, one anti-tank weapon did not operate properly and no one in Platoon A could fix this weapon. Sgt. Rock knew that Sgt. Jackson in Platoon C had received special maintenance training for this weapon. Sgt. Rock and Sgt. Jackson had helped each other out in the past, and now, Sgt. Jackson needed a few extra gasoline jerry-cans to get his platoon squads ready for the FTX. First thing in the morning, Rock brought the malfunctioning weapon to Platoon C. After lunch, Sgt. Rock sent a private over to Platoon C with a dozen jerry-cans. This private returned with the repaired anti-tank weapon.

It is interesting how Sgt. Rock got the dozen jerry-cans because it exemplifies his informal ways of doing things. The most likely source of these jerry-cans would be in the motor pool for which Lt. Claytor of Platoon A, Company ABC, was the motor pool officer. His First Sgt. Marshal, would be the man who could get this equipment, but

Sgt. Rock did not know Marshal well enough to informally get the equipment. Rock had found out from Sgt. Click, who recently had motor pool duty, that there were a couple dozen unused jerry-cans in the motor pool storehouse. It would be simple for Rock to submit a request for this equipment, but by the time the request would be processed, the company would be out on the FTX. So Sgt. Rock told Lt. Jones the reason he needed a dozen jerry-cans. Lt. Jones, realizing the situation, told Rock he should be more careful before agreeing to get equipment he did not have. To solve the problem, Lt. Jones had Rock locate extra jerry-cans in their platoon; Rock located six of these.

Lt. Jones did not know how to get the remaining jerry-cans in time for the FTX. Sgt. Rock told Jones that he would take care of it without any problems. Sgt. Rock promptly contacted First Sgt. Krammer and explained how he needed to get six jerry-cans from the motor pool in Company ABC. Krammer said "Rock, I've owed you one for awhile. Send a soldier to the motor pool after lunch to pick up the cans, but you will have to get Jackson to fill out a request for six cans." "By the way Rock," Krammer continued, "how is the wife and children..." Master Sgt. Krammer had lunch with the Master Sgt. from Company ABC. Right after lunch there were six jerry-cans sitting by the motor pool gate. Rock called Jackson to tell him a request for six jerry-cans must be submitted before they go on the FTX.

Sgt. Rock is not the only one in the platoon who uses such expedience in doing a job. In one of platoon A's squads, Sgt. Rose was working with a team of men packing tents for the FTX. A few of the tents were exceptionally damp and needed a quick drying. Rose knew that Bestow, a fire team leader in another squad, was taking a load of jungle uniforms to the laundry service for cleaning. Rose asked Bestow if he could have the tents put into the dryers while the other things were being washed. "Sure", Bestow said, "if you could spare an extra soldier to help fold the uniforms, I'm short of man-power." Rose was able to spare a soldier. Because of Rose and Bestow's mutual cooperation, both tasks were completed more effectively.

Exercise 7

OPERATION OF FORMAL AND INFORMAL STRUCTURES

Introduction

In the previous exercise you were asked to identify possible informal structures which might exist in Platoon A and Company XYZ. In an actual Army setting, if an officer is to function with maximum effectiveness, he must not only know of the existence of such informal structures but also must understand the processes by which they operate. This understanding will provide the officer with alternative courses of action which may be used to accomplish a task. Furthermore, the understanding of how informal structures operate may provide the officer with insight into how a "trouble maker" in the unit is able to influence other soldiers and subsequently reduce unit effectiveness.

Objectives

In completing this exercise, the student will be required to consider how the informal structures identified in the previous exercise actually function as channels of communication and influence. The class discussion should provide the student with further insights into the multiplicity of paths which may actually be available to accomplish a mission. While it is not intended to provide a list of all possible ways in which informal structures may

operate in the Army, the exercise should stimulate thinking on this topic and provide a better understanding of how the general principles discussed in the text apply to the U.S. Army.

Instructions to Instructor

THE INITIAL PHASE OF THIS EXERCISE IS TO BE COMPLETED ON AN INDIVIDUAL BASIS. THE COMPLETION OF PART ONE OF THE EXERCISE MAY REQUIRE A FAIRLY LONG PERIOD OF TIME (ONE HOUR OR MORE) AND THUS, IT IS RECOMMENDED THAT STUDENTS COMPLETE THE FIRST PART OF THE EXERCISE BEFORE COMING TO CLASS. IF THIS STEP IS TAKEN, THEN MORE TIME WILL BE ALLOWED FOR CLASS DISCUSSION, WHICH IS A CRITICAL ASPECT OF THIS EXERCISE. DURING THE CLASS DISCUSSION, YOU SHOULD ATTEMPT TO ENCOURAGE STUDENTS TO PRESENT THEIR ANSWERS AND SOLICIT CRITICISMS AND COMMENTS ON THESE ANSWERS FROM OTHER STUDENTS IN THE CLASS.

Instructions to the Students

This exercise consists of two parts. The first part of the exercise is designed to be completed on an individual basis. In this phase, you will be given a description of a task which Lt. Jones and Platoon A must accomplish. You will also be provided with some additional information about Company XYZ and you should incorporate all of the knowledge you have gained about Platoon A and Company XYZ from previous exercises. Using all of this information you will

be asked to outline the steps which illustrate the process by which the task given to Lt. Jones might be completed. The first outline you complete should illustrate the steps you would take if you were Lt. Jones and you were using the formal organizational structure and chain of command. The second outline should illustrate the steps you might take to accomplish the task if the formal structure and chain of command were not functioning properly and you were required to use informal procedures and work through the informal structure.

The second part of the exercise is to evaluate what you consider to be the relative efficiency of each of these two courses of action. You should also consider the possible problems or conflicts which might arise from use of the informal structure. Be prepared to present your outlines and evaluations of the relative efficiency and possible problems to the class. While listening to other students present their solutions, you should ask questions about statements they make which you do not understand. Furthermore, you should feel free to challenge the other students' answers if you feel they are incorrect, but you should also be prepared to justify why you think they are incorrect. The information you will need to complete the exercise is contained in the role information section below.

Role Information

Assume the role of Lt. Jones. Your platoon is participating in a Brigade level field training exercise. In past exercises, Platoon A has not performed particularly well and this has in turn lowered the ratings received by Company XYZ. Both Capt. Wallis and Col. Smith have stressed that they expect better results from Platoon A in this exercise. Capt. Wallis has clearly indicated that he will accept no excuses for poor performance, and you realize that you will ultimately be held responsible if the platoon fails to accomplish its assigned mission.

It is the fifth day of the exercises and until now Platoon A has turned in an outstanding performance. However, you have just received a new set of orders at 1300 hours. A major night operation is to begin at 2300 hours. Your platoon is to play a key role in this operation. By 2200 hours your platoon is to be in position to defend a bridge crossing a river. The bridge is 15 miles from your current position and you have been informed that it may need some minor repairs to be structurally sound. You have no information as to exactly what repairs are needed on the bridge. You have only been told that you must have the bridge prepared and have your platoon in a defensive position by 2200 that night. Capt. Wallis has called you and reported that Platoon A was chosen for this assignment because of its excellent performance in the first four days

of exercises. It is critical that the bridge be structurally sound and be well defended. The success of the entire night operation depends upon the quick movement of supplies and light artillery across this bridge. Capt. Wallis has informed you that there may be some enemy armor in the area near the bridge and you should be prepared to repel an attack from an enemy tank.

After terminating the radio message with Capt. Wallis, you realize that a great deal of work needs to be done. Several problems immediately come to mind. First, you have no means of getting your platoon to the bridge. Second, not only do you have no idea what is wrong with the bridge but, even if you did, you know nothing about repairing bridges. Even if you did know, Company XYZ does not have the necessary repair supplies. Finally, to make matters worse, your anti-armor weapons had been damaged earlier in the maneuvers.

You call Sgt. Hock and find out that he knows nothing about repairing bridges, however, he does know that it. Hiss has a soldier in his platoon who has had some experience in working with bridges. While examining a map of the area around the bridge with your squad leaders, Sgt. Johnson tells you that he is pretty sure that one of the squads in Platoon A of Company ABC had returned from a reconnaissance mission in that area earlier in the day. At lunch, he had heard the squad leader, Sgt. French, talking about the

bridge.

As far as anti-tank weapons, you hope that Sgt. Jackson, the platoon sergeant in Lt. Barkers' platoon, can immediately repair your damaged weapons or that Capt. Wallis will authorize you to get other weapons from either Lt. Barker or Lt. Riss. Finally, you know that Capt. Mackie of Company ABC is the battalion supply officer and that Lt. Claytor is motor pool officer. Outline a course of action showing all the major steps you would take including the people you would contact in the formal chain of command to get your platoon to the bridge by 2200 hours.

After completing this task, assume that Capt. Wallis and Capt. Mackie can not be reached and that Lt. Barker refuses your request to allow Sgt. Jackson to work on your anti-tank weapons. Outline the steps you might now take, making use of everything you know about the formal and informal structure in the battalion.

Understanding Different Types of Power and Influence

Leadership vs. Supervision

Before reading this section, you may wish to review the earlier sections on bases of power and the social exchange theory of leadership. Pay particular attention to the distinction drawn between the processes of "supervision" and "leadership". "Leadership" is defined as influence without reliance on the formal authority or power granted by the organization. "Supervision", on the other hand, is related to the process of influencing subordinates directly through formal authority and the authority to use rewards and punishments granted to the leader by the organization. The bases of power for these two methods of influencing subordinates are quite different. If a leader influences subordinates through the process of leadership, power is gained through interaction with subordinates. In contrast, supervision involves the use of power and authority vested in the leader by the organization. The distinction between power granted by the organization and power earned through the leader-subordinate interaction is critical to the development of a new lieutenant as a platoon leader. This is particularly important to the lieutenant's relationship with NCOs and dealing with the possible existence of an informal leader in the platoon.

Bases of Power in the U.S. Army

Different bases of power do exist in the Army, and they are important in determining the type of influence possessed by a leader. Figure 4-2 lists six different types or bases of power which exist in the U.S. Army. Figure 4-3 presents an illustration of the various bases of power which are available to a newly commissioned lieutenant, a platoon sergeant, and a soldier who has assumed the role of an informal leader. With the exception of illegitimate power, the bases of power are expressed in terms of the classification developed by French and Raven (1959). Legitimate power is the power a leader has due to his or her subordinates' acceptance of organizational rules and policies. "Illegitimate power" is a form of influence that a leader may derive from group members' rejection or discontent with the formal organization. "Illegitimate power" can be used only by a leader who is perceived by subordinates as antagonistic to the formal organization. The ability of the leader to influence subordinates based upon "illegitimate power" arises from subordinates' identification with the leader's antagonistic behavior toward the system. Unlike French and Raven's referent power, however, "illegitimate power" is dependent upon subordinates' discontent and resistance to the organization's rules and policies. This "illegitimate power" base represents a source of power which is external

to the individual leader himself. Just as legitimate power exists as a function of the organization, "illegitimate power" exists as a function of the same organization.

Power and the newly commissioned lieutenant. If you examine Figure 4-3, you will see that when you enter your first platoon, you have limited bases of power. The powers you have (legitimate and reward) are a function of your position as a commissioned officer in the U.S. Army. Your formal authority exceeds that of any other member of your platoon. As time passes, you will need to expand your bases of power. There are a number of reasons why this expansion is necessary. First, if an informal leader exists in your platoon, or even if there is only a fair amount of discontent with the "system", your formal authority will be limited. The basis for this assertion is that while you expand your base of power your authority will depend, to a great degree, on whether your subordinates accept and abide by the rules and regulations of the U.S. Army. That is, your power as a leader and your ability to influence your troops will be limited to those situations in which you are able to invoke the rewards and punishments which are formally sanctioned by the U.S. Army. If your soldiers are discontent and resist the enforcement of formal rules and regulations, your ability to lead your platoon will be severely limited. Under these circumstances, an informal leader who has a great deal of personal influence with

platoon members may emerge in the unit. An extreme example of what may occur when officers rely solely upon their formal authority is the "fragging" incidents in which officers were killed or injured by their own troops during the Vietnam conflict. In those instances, troops had little respect for the formal system and therefore, reacted violently against the officers who were representatives of this system. For the most part, however, discontent is normally reflected by more subtle forms of behavior such as "work slowdowns" which can only serve to undermine the efficiency rating of the officer.

Figure 4-3 also lists the use of coercive power as a base of power. The U.S. Army grants you the right to discipline your subordinates and a coercive style of leadership does represent a form of personal influence over subordinates. The problem with this form of personal influence is that it is very likely to produce negative reactions from soldiers. If you rely heavily upon a coercive style of leadership, you may actually cultivate fertile grounds for the emergence of an informal leader in your platoon.

Expanding your base of influence. You may wonder how you can gain influence as a person, rather than relying on the formal authority of your rank. If you examine Figure 4-3, you will note that the platoon sergeant has the greatest number of different bases of power in the platoon.

Frequently, the soldiers in a platoon will perceive the platoon sergeant as a primary source for leadership. This is particularly true when the platoon sergeant has a significant amount of referent and expert power. If you are able to enlist the support of your platoon sergeant, then you will be able to broaden your base of influence within your platoon.

Caution should be taken before you attempt to use a platoon sergeant to temporarily broaden your base of power. As Figure 4-3 illustrates, the platoon sergeant could use coercive power as a source of influence. In this situation, reliance upon a platoon sergeant who uses coercive power could result in your soldiers perceiving that you endorse this style of leadership. Consequently, any discontent which is directed toward the platoon sergeant may also be directed toward you. For this reason, it is very important that you observe your platoon sergeant and interact with your soldiers to find out the manner in which the platoon sergeant has treated them. A lieutenant would be wise to use the platoon sergeant to broaden his or her base of power only if the sergeant uses non-coercive behaviors.

As you establish communication channels and demonstrate that you possess good technical skills, you will begin to develop your own bases of referent and expert power. In this effort, you will need to demonstrate that you are not simply trying to utilize your troops in an impersonal way

but rather that you are concerned for their welfare. One of the best occasions for a demonstration of your expert power will be during field exercises. Your successes in a single critical incident during field training could serve to increase the degree to which subordinates' perceive you as possessing expert power. You should pay particular attention to developing this type of influence because it is essential to effective leadership in combat situations. Since the lives of your troops are entrusted to you in a combat situation, the leader they will want to follow is an individual whom they perceive as having the ability to successfully accomplish a mission. The grave consequences of failure during combat make it critical that your subordinates have complete faith in your ability as a leader.

Reliance upon referent and expert power should result in an increase in your personal influence with subordinates. This will be the case because the referent and expert bases of power are directly related to your soldiers' perceptions of you as a leader. The organization cannot grant these bases of power to any individual occupying the leadership position; they must be earned by the leader. When relying upon referent and expert power, you will encounter less resistance to the orders you issue because the soldiers trust you and respect your judgment.

The development of technical expertise will greatly

facilitate your ability to work with the NCOs in your platoon. The NCOs will show greater respect for your suggestions when they perceive you as possessing expert power. This will enable you and your NCOs to function more effectively as a team.

Conflicts with Informal Leaders

Let us return to the problem of an informal leader who might attempt to sabotage your leadership efforts. In this situation, your task will be to broaden your own base of power, simultaneously weakening that of the informal leader. The process of increasing your power in the platoon was discussed above.

Your task of weakening the influence of an informal leader may be easier if the informal leader has used coercive power. Sometimes the informal leader may use direct threats or the use of peer pressure to prevent soldiers from complaining to the platoon sergeant. These soldiers will accept your authority if they feel that you are able to protect them from the influence of such an informal leader. You must convince the soldiers that you understand the situation and that you will take action against the individual if further coercive behavior is brought to your attention.

A power struggle such as the above is complex and involves an element of risk. For example, suppose you

promise to protect a platoon member from the coercive action of an informal leader but fail to do so. This is likely to result in your losing both trust and creditability in your platoon. As a leader, you will be held accountable for any promises or commitments you make to the members of your platoon.

Transferring an informal leader out of a platoon may appear to be an easy solution. However, obtaining such a transfer is often quite difficult and represents only a temporary solution to the problem. The ultimate solution lies in removing the conditions which were originally responsible for the acceptance of an informal leader. Until you are able to eradicate the causes of discontent in your platoon, removal of the informal leader will probably be followed by the emergence of another informal leader. Critical incident III provides an example of the steps one lieutenant took to reduce the discontent in his platoon.

You should now have some appreciation of the many different types of power and influence which are available to a leader. As you can see, there are other ways to influence soldiers besides threatening them with an Article 15 or similar coercive action. Now that you have an idea of the various bases of power that are available and the variety of organizational structures which you may encounter, your role as a lieutenant in today's Army may now be discussed.

FIGURE 4-2

Six Bases of Power and Their Definitions

Legitimate Power - Power gained by virtue of the leader's position in the organization. This is the formal authority which is granted to an officer of a particular rank. This power exists to the extent that soldiers respect and accept the rules and regulations of the military organization.

Reward Power - Power derived from the leader's control of rewards for his or her subordinates. In the army this includes control over rewards such as time-off and promotions. This base of power also depends upon the leader's position in the organization.

Referent Power - This is the influence a leader has over his or her subordinates due to the fact that the subordinates like the leader and identify with the leader.

Expert Power - Power granted to a leader because subordinates think that the leader has more knowledge or skills needed to complete a task than they possess.

Coercive Power - Power or influence possessed by a leader due to the leader's ability to threaten or deliver punishment to subordinates.

Illegitimate Power - Power derived from discontent among subordinates due to the unresponsiveness or perceived unfairness of the formal organization. To use this type of power or influence the leader must be perceived by subordinates to act in a manner antagonistic to the organization.

FIGURE 4-3

BASES OF POWER OF VARIOUS PLATOON MEMBERS

	<u>Platoon Member</u>		
	<u>Newly Comm. Lt.</u>	<u>Platoon Sgt.</u>	<u>Informal leader</u>
<u>Base of Power</u>	legitimate reward (coercive)	legitimate reward referent expert (coercive)	illegitimate reward referent expert (coercive)

Critical Incident III

Lt. Jones nervously approached Col. Smith's office. It was the first time he had ever gone to his commanding officer expecting to have an argument. Lt. Jones has only been in Platoon A for six weeks. The morale of Platoon A is extremely low. Lt. Jones has gained the trust of some of his soldiers who complained that the living conditions for most of his platoon members were deplorable. The platoon was temporarily housed in substandard World War II barracks that needed painting. The doors to the living quarters would not lock. As a result, several troops had stereo equipment and other personal belongings stolen. The previous platoon leader requested that repairs be made and was refused by Col. Smith. Smith contended that his budget was limited and besides, any additional expenditures for repairs would be wasted since the platoon would be relocated within a year.

Lt. Jones had discussed the situation with Sgt. Rock. Rock said that he had checked with the supply sergeant and that some surplus paint was available. Rock also stated that there were probably enough locks recovered from other demolished buildings to properly repair the doors. Unfortunately, he related that no troops are available to make these repairs. Sgt. Rock and Lt. Jones devised a plan to make the repairs. The purpose of Lt. Jones' appointment

with Col. Smith was to present this plan.

As Lt. Jones entered the office, Col. Smith turned to him and said, "Good morning, Lt. Jones, Sgt. Major Duke tells me that you want to discuss repairs to Platoon A's barracks. If you talked with Sgt. Rock or the platoon leader you replaced, I think you will find out that I have already made it quite clear how I feel."

"Yes Sir," replied Jones, "However, I think you should reconsider your decision. My platoon is having very bad morale problems and I think that at least part of this is due to the fact that they feel that the Army does not give a damn about them. They see other platoons living in new quarters and they don't think that it's fair that they have to live in such dilapidated quarters. I really believe that something has to be done about this problem before I can really begin to lead this unit."

Col. Smith glared and replied in an icy tone: "Lieutenant, I sympathize with you and your troops. However, I cannot justify the cost of buying paint or locks to repair a structure which is going to be demolished in less than a year. As far as being unfair, someone had to be the last on the waiting list for new quarters. I have decided that Platoon A will be that someone. Compared to the way that troops lived during combat over in Vietnam, your platoon is living in a luxury hotel. I don't have any time or the patience to listen to these kind of complaints."

At this point, Lt. Jones was about to salute and leave the office. Remembering that he had promised to help his platoon, Jones began his rehearsed presentation. "Col. Smith, I have located surplus materials which could be used to make the needed repairs. My troops are willing to make these repairs on their off-duty time, and I am willing to devote my off-duty time to supervise them." Lt. Jones looked for some sign of approval from Col. Smith. He continued: "Colonel, my troops need to feel like somebody cares about them. I think that repairing the barracks would be an excellent opportunity to show them that somebody cares. It would really help boost the morale of my platoon. Sgt. Rock thinks it's a good idea and it won't really cost the company much money."

Col. Smith was silent for a moment, then he again spoke to Lt. Jones in a stern voice: "Jones, I think this is a noble act. However, I still don't like your idea. Suppose one of the men is hurt while trying to make a repair. Then who is going to take that responsibility? However, if you are willing to assume the responsibility for these men during off-duty hours, then you can purchase the necessary materials. However, I will not officially authorize the repairs."

Lt. Jones thanked the colonel, saluted, and left the office.

Exercise 8

POWER AND INFLUENCE: Bases of Power in Different Situations

Introduction

Several bases of power which may be used in the Army have just been discussed. The extent to which a platoon leader is able to influence subordinates through the use of these various bases of power is a major factor which will determine the effectiveness of the lieutenant as a leader. A subordinate's perception of the leader's behavior will have a major impact upon the leader's ability to influence that individual. Thus, it is imperative that a platoon leader be aware of the manner in which other persons perceive his or her attempts to exert influence.

It should also be recognized that subordinates may respond to a particular base of influence in one situation but not in another situation. For example, suppose that subordinates perceive a platoon leader as being technically competent, thus enabling the lieutenant to rely upon an expert base of power. The platoon leader may find that reliance upon expert power will be useful when influencing a soldier in a task related situation but be of little value to the leader's ability to convince two soldiers to stop fighting. In this latter situation, legitimate power or even coercive power may be more effective bases of influence.

Objectives

In the above discussion, we note that it is important that a leader understand how his or her behavior is perceived by subordinates. In addition, we suggest that it is critical that a leader knows when a particular base of power is appropriate. The question which arises is: "How can you discover the manner in which you are perceived by your subordinates"

The primary objective of this exercise is to provide you with an opportunity to receive feedback on the way other individuals perceive your attempts to exert influence. The class discussion which follows the exercise may provide you with insight into why your behavior may be misinterpreted and why a particular base of influence is more appropriate in one situation than it is in another.

INSTRUCTIONS TO INSTRUCTOR

THIS EXERCISE REQUIRES STUDENTS TO ASSUME THE ROLES OF LT. JONES OR ONE OF TWO SUBORDINATES WITH WHOM LT. JONES INTERACTS. THE CLASS SHOULD BE DIVIDED INTO DYADS TO PERFORM THE EXERCISE. IF THIS IS NOT POSSIBLE, THEN TWO DYADS SHOULD BE SELECTED TO PERFORM THE EXERCISE AS A DEMONSTRATION. THE REMAINDER OF THE CLASS SHOULD ASSUME THE ROLE OF OBSERVERS WHO PROVIDE FEEDBACK TO THE ROLE INCUMBENTS. IN EITHER CASE, THE STUDENTS ASSUMING THE ROLES WILL BE PROVIDED WITH DESCRIPTIONS OF TWO SITUATIONS THAT

REQUIRE LT. JONES TO ATTEMPT TO CONVINCE A SUBORDINATE TO PERFORM A PARTICULAR TASK.

WHEN THE CLASS IS DIVIDED INTO DYADS ONE STUDENT SHOULD ASSUME THE ROLE OF LT. JONES IN SITUATION ONE AND IN SITUATION TWO THE OTHER STUDENT SHOULD PORTRAY LT. JONES. WHEN PERFORMED AS A DEMONSTRATION, ONE DYAD SHOULD PRESENT SITUATION ONE AND THE OTHER TWO STUDENTS SHOULD ASSUME THE ROLES IN SITUATION TWO. IN EACH OF THE TWO SITUATIONS THE STUDENT ASSUMING THE ROLE OF LT. JONES WILL ATTEMPT TO ILLUSTRATE THE WAY HE OR SHE WOULD BEHAVE WHEN TRYING TO INFLUENCE THE STUDENT IN THE OTHER ROLE. THE STUDENT PORTRAYING LT. JONES WILL BE REQUIRED TO DEMONSTRATE SEVERAL DIFFERENT BASES OF POWER. THE DEFINITION OF EACH BASE OF POWER AND RELEVANT EXAMPLES OF EACH ARE INCLUDED IN THE STUDENTS ROLE INFORMATION.

THE SECOND MEMBER OF THE DYAD WILL ASSUME THE ROLE OF LT. JONE'S SUBORDINATE AND ACT AS OBSERVER OF LT. JONE'S BEHAVIOR. AT THE END OF EACH SITUATION, THE STUDENT IN THIS ROLE WILL PROVIDE FEEDBACK TO THE STUDENT PORTRAYING LT. JONES. WHEN PERFORMED AS A DEMONSTRATION, THE CLASS MEMBERS NOT PORTRAYING A ROLE WILL ACT AS THE OBSERVERS.

AFTER THE STUDENTS HAVE COMPLETED THE ROLE PLAYING FOR BOTH SITUATION ONE AND SITUATION TWO AND EXCHANGED THE APPROPRIATE FEEDBACK INFORMATION, THE ENTIRE CLASS SHOULD DISCUSS THE EXERCISE. THE DISCUSSION SHOULD FOCUS UPON THE QUESTIONS PROVIDED AT THE END OF THE EXERCISE.

Instructions to Students

You will be provided with the descriptions of two situations in which Lt. Jones must attempt to influence a subordinate to perform a particular task. You will complete the exercise by working in two-person groups. Each member of this dyad will have an opportunity to portray Lt. Jones and to assume the role of the subordinate which Lt. Jones is attempting to influence (Sgt. Duvalve in situation one and Sgt. Rock in situation two). In each of the two situations, the student assuming the role of Lt. Jones will attempt to influence the subordinate by using several different bases of power.

The student assuming the role of the subordinate must simultaneously perform two tasks. First, when in this role you must interact with the student portraying Lt. Jones in a manner which you would consider appropriate for the subordinate whose role you have assumed. The second task is to carefully observe the other student's behavior and decide which base of power they are portraying. You will be given an opportunity to record which base of power you think the student was illustrating immediately after he or she demonstrates each base of power.

In each situation, the student assuming the role of Lt. Jones will be provided with a set of role information and relevant examples of different bases of power. Both of you will be given definitions of the different bases of power

and descriptions of the two situations. You should now break into dyads and one student in each dyad should be selected to portray Lt. Jones in situation one. The other student will then assume the role of Lt. Jones in situation two. At the end of each situation, the student portraying Lt. Jones should compare the order in which he or she illustrated the different bases of power with the record of the bases of power which were perceived by the student acting as the subordinate. After you have completed both situations, the class will reassemble and discuss the results of the exercise. You should try to answer each of the class discussion questions.

Six Bases of Power and Their Definitions

Legitimate Power - Power gained by virtue of the leader's position in the organization. This is the formal authority which is granted to an officer of a particular rank. This power exists to the extent that soldiers respect and accept the rules and regulations of the military organization.

Reward Power - Power derived from the leader's control of rewards for his or her subordinates. In the army this includes control over rewards such as time-off and promotions. This base of power also depends upon the leader's position in the organization.

Referent Power - This is the influence a leader has over his or her subordinates due to the fact that the subordinates like the leader and identify with the leader.

Expert Power - Power granted to a leader because subordinates think that the leader has more knowledge or skills needed to complete a task than they possess.

Coercive Power - Power or influence possessed by a leader due to the leader's ability to threaten or deliver punishment to subordinates.

Illegitimate Power - Power derived from discontent among subordinates due to the unresponsiveness or perceived unfairness of the formal organization. To use this type of power or influence the leader must be perceived by subordinates to act in a manner antagonistic to the organization.

Situations

1. Lt. Jones must influence Sgt. Duvalve to have his squad work Saturday to clean up the motor pool for an inspection on the following Monday.

2. Lt. Jones must influence Sgt. Rock to talk with Pvt. Kahn about his personal problems.

Situation 1 and 2: Lieutenant Jones

Role Information

As Lt. Jones, you have the responsibility of doing most of the talking in this exercise. For each of the two situations, there is a short quote of what Lt. Jones might say for each base of power. You should expand these examples and improvise dialogue and actions that you consider appropriate for each base of power. Read each base of power before presenting it to the other students, so as to get an idea of the type of things you need to say. Act out the bases of power in the order given for each situation. The observers are going to note what they perceive the order to be. Finally, pause a sufficient time between the bases of power to allow observers to think about what you have said and for you to prepare for the next base of power.

Situation 1

Relevant Examples of Bases of Power

In this situation you must convince Sgt. Duvalve that his squad should work Saturday to clean up the motor pool for an inspection on Monday.

Below are examples you might find useful in illustrating the different bases of power in this situation. Feel free to improvise and use the comments and actions you consider appropriate for the base of power you are using. After demonstrating each base of power, let the other person record the particular base of power that they believed was used.

Legitimate Power "Sgt. Duvalve, have your men at the motor pool by 900 hours this Saturday. You will supervise cleaning operations for an upcoming inspection."

Reward Power "Sgt. Duvalve, if you can get your squad to clean the motor pool this Saturday, I will get your soldiers some time off on payday."

Expert Power "Sgt. Duvalve, there will be an inspection of the motor pool this coming Monday morning. I've already made an inspection of the area. I've found two trucks in need of a tire change and other minor repairs. The new

shipment of parts was not stored on the shelves and the whole area was unswept. I've worked with the colonel who is conducting the inspection. I know exactly what the colonel will be looking for.

Referent Power "Jack, I know it is Friday, but we have a problem. There is going to be an inspection on Monday morning and I need someone to clean up motor pool. You know you are my right hand man and I hope you can help me out now."

Coercive Power "Sgt. Duvalve, we will have an inspection on Monday. If that damn motor pool isn't clean by Saturday, you and your men will be pulling extra duty for the next six months."

Illegitimate Power "Jack, those jerks are going to conduct a surprise inspection this Monday over at the motor pool. They know that we are short handed and that the motor pool is a mess. That colonel thinks that he has us this time. For some reason he is determined to make us look bad. You know those trucks we had a hard time repairing. Take them over to the airport and park them behind the hangar. Throw all the spare parts and junk into the back of the trucks before you move them. Do whatever you have to do to make the place look good. We will put one over on that bastard."

Situation 2

Relevant Examples of Bases of Power

In this situation, you are trying to persuade Sgt. Rock to talk to Pvt. Kahn about Kahn's personal problems (note Exercise 4).

Below is information you might find useful. Feel free to improvise where you feel it is appropriate.

Coercive Power "Sgt. Rock, I'm ordering you to talk to Pvt. Kahn about his personal problems. If you don't follow my orders this time, then we will have to talk with Capt. Wallis about who is running this platoon. I'm sure the Capt. would be interested in hearing why you leave early every Friday afternoon."

Legitimate Power "Sgt. Rock, find Pvt. Kahn, and talk to him about his personal problems."

Referent Power "Rock, I've tried to talk to Pvt. Kahn about his personal problems, but with the little contact that I have with him, it is difficult to talk about such things. Kahn trusts you more than he trusts me. Try to do what I would do: try to talk with Pvt. Kahn and straighten him out."

Revard Power "Sgt. Rock, try to talk to Pvt. Kahn about his personal problems. If you take care of this for me, I will get you some time-off on the next payday."

Illegitimate Power "Rock, you know as well as I do that the Captain put Kahn in this platoon because he knew Kahn was a trouble maker. The Capt. has tried to burn us ever since we complained about the lack of equipment in the company. If Kahn doesn't shape-up, we are going to have real problems in this platoon. I'm sure the Capt. would love the opportunity to chew us out. But we'll show him. Find Kahn and tell him to straighten-out. If he doesn't, then just get him out of the way."

Expert Power "Sgt. Rock, based upon my training in counseling, I know that Pvt. Kahn has some real problems. One of these problems is his handling of finances. I think it would be best if you talk with him. Believe me, I know enough about counseling to recognize that Kahn trusts you. Trust is the most important aspect of successful counseling. Since Kahn trusts you, I know that you could help him."

Discussion Questions

1. Were the different bases of power demonstrated by the students portraying Lt. Jones always perceived by the other students in the manner intended?
2. Why did differences occur between the way a student thought he or she was behaving and the way the behavior was perceived by others?
3. Were some bases of power misinterpreted more than others Why?
4. Were different bases of power appropriate for the two situations Why?
5. Would any of these bases of power be appropriate for a lieutenant to use in influencing his company commander?

NOTE TO INSTRUCTOR

IF THE CLASS DECIDES THAT THE ANSWER TO QUESTION 5 IS "YES", THEN ASK FOR VOLUNTEERS TO DEMONSTRATE THE APPROPRIATE BASE OF POWER WHICH LT. JONES MIGHT USE TO INFLUENCE CAPT. WALLIS TO PROVIDE MORE TIME FOR HIS PLATOON TO ENGAGE IN FIREARMS RANGE TRAINING.

Exercise 9

POWER AND INFLUENCE IN DECISION MAKING

Introduction

In the preceding exercise, various means of exerting power or influence were demonstrated. Some of these bases of power are more appropriate than others in any particular situation. You should realize that by using certain bases of power it is possible to have influence over your subordinates even when you are not physically present. This is important because there will be many times when you must depend upon your soldiers to carry out their assigned tasks even though you can not be with the platoon. If you have not developed the bases of power needed to earn the commitment of your troops, then an informal leader may disrupt platoon performance in your absence.

Objectives

The primary goal of this exercise will be to provide students with the opportunity to influence other members of a group working on a problem solving task. Each group will have an appointed leader whose responsibilities include bringing the group to a consensus decision using any available means of influence. However, the nature of the task is such that any group member may try to influence the group decision.

The exercise will also provide a demonstration of how successful the leader is in influencing the group even when he or she is not physically present. The discussion which follows the exercise should be valuable to both the leader and other group members. It is probable that they will gain some clear insights into the dynamics of group processes and the process of influencing the members of a work group.

Instructions to Instructor

THIS EXERCISE REQUIRES THAT THE CLASS BE BROKEN INTO GROUPS OF SIX OR MORE INDIVIDUALS. WITHIN EACH GROUP YOU MUST APPOINT ONE MEMBER AS THE LEADER. AFTER APPOINTING A LEADER IN EACH GROUP, YOU CAN HAND OUT THE INSTRUCTIONS FOR THE TASK TO ALL GROUP MEMBERS. THE TASK UPON WHICH THE STUDENTS WILL WORK IS CALLED THE "MOUNTAIN AND JUNGLE SURVIVAL TASK." THE TASK REQUIRES THAT THE STUDENTS REACH A CONSENSUS DECISION ON THE ORDER OF IMPORTANCE OF A NUMBER OF ITEMS IN A LIFE-DEATH SURVIVAL SITUATION. THE WRITTEN INSTRUCTIONS PROVIDED TO THE STUDENTS GIVE MORE DETAILS OF THE TASK. IT IS IMPORTANT THAT YOU HAND OUT THESE INSTRUCTIONS YOURSELF. TELL THE STUDENTS THAT THEY ARE NOT ALLOWED TO READ THE INSTRUCTIONS GIVEN TO OTHER STUDENTS. ACTUALLY, THE INSTRUCTIONS ARE IDENTICAL FOR ALL BUT ONE GROUP MEMBER. THE SPECIAL INSTRUCTIONS SHOULD BE GIVEN TO ONE MEMBER IN EACH GROUP OTHER THAN THE APPOINTED LEADER. IN EACH GROUP THIS SINGLE GROUP MEMBER WILL RECEIVE A SET OF

INSTRUCTIONS WHICH CONTAINS THE FOLLOWING ADDITIONAL
PARAGRAPH:

YOU HAVE BEEN SELECTED TO ACT AS AN INFORMAL
LEADER IN THIS GROUP. NO OTHER MEMBER (INCLUDING
THE OFFICIALLY APPOINTED LEADER) IS AWARE OF THIS
FACT. YOU SHOULD TRY TO PREVENT THE GROUP FROM
REACHING A CONSENSUS WHILE THE LEADER IS IN THE
GROUP. WHEN THE LEADER LEAVES THE GROUP AND THE
GROUP RANKS THE ITEMS IN ORDER OF IMPORTANCE,
INFLUENCE THE OTHER MEMBERS TO CHANGE THE ORDERING
AS MUCH AS POSSIBLE. THE GREATER THE DISCREPANCY
BETWEEN THE ORDERING OF THE ITEMS MADE WHEN THE
LEADER IS PRESENT AND WHEN THE LEADER IS ABSENT,
THE MORE SUCCESSFUL YOU HAVE PROBABLY BEEN AS AN
INFORMAL LEADER. DURING THE CLASS DISCUSSION
WHICH FOLLOWS THE TASK, YOU WILL BE ASKED TO
IDENTIFY YOURSELF AS THE INFORMAL LEADER AND READ
YOUR INSTRUCTIONS TO THE LEADER AND OTHER GROUP
MEMBERS.

AFTER HANDING OUT THE TASK INSTRUCTIONS, TELL THE
APPOINTED LEADERS THAT THEY HAVE FIFTEEN MINUTES TO BRING
THEIR GROUPS TO A CONSENSUS DECISION ON THE IMPORTANCE OF
EVERY ITEM. A CONSENSUS DECISION MUST BE REACHED ON THE
ORDERING OF EVERY ITEM. HAND OUT THE TWO GROUP ORDERING
SHEETS TO EACH GROUP. AT THE END OF THE FIFTEEN MINUTE

PERIOD THE LEADER IS TO FILL OUT THE FIRST OF THE GROUP ORDERING SHEETS SHOWING HOW THE GROUP RANKS EACH ITEM. EACH LEADER PLACES HIS OR HER NAME ON THIS SHEET. ALLOW THE LEADER THREE MINUTES TO FILL THIS OUT. AFTER THE THREE MINUTES, THE LEADERS ARE TO RETURN THE FIRST COMPLETED GROUP RANKING TO YOU AND LEAVE THE ROOM. THE GROUP THEN HAS FIVE MINUTES TO COMPLETE THE SECOND GROUP RANKING AND MAKE ANY CHANGES THEY FEEL ARE APPROPRIATE. HOWEVER, THESE CHANGES MUST BE AGREED UPON BY GROUP CONSENSUS.

AFTER FIVE MINUTES, BRING THE LEADERS BACK TO THE ROOM, GIVE THEM THEIR GROUP RANKING SHEETS AND ALLOW THE LEADER AND GROUP TO COMPARE THE TWO GROUP RANKING SHEETS TO THE CORRECT ANSWERS. AT THIS POINT IN TIME, THE INFORMAL LEADERS WILL REVEAL THEMSELVES AND DISCUSSION OF WHAT HAS OCCURRED SHOULD FOLLOW. THE CLASS DISCUSSION SHOULD INCLUDE ANSWERING THE FOLLOWING QUESTIONS.

1. HOW SUCCESSFUL WAS THE APPOINTED "OFFICIAL" LEADER IN INFLUENCING THE GROUP?
2. WHAT BASES OF INFLUENCE DID THIS LEADER USE?
3. HOW SUCCESSFUL WAS THE INFORMAL LEADER IN INFLUENCING OTHER GROUP MEMBERS?
4. WHAT TYPES OF INFLUENCE DID THE INFORMAL LEADER TRY TO USE?
5. DID AN OPEN CONFLICT BETWEEN THE FORMAL AND INFORMAL LEADER DEVELOP?

6. DID THE OFFICIAL LEADER'S INFLUENCE OVER THE GROUP REMAIN WHEN THE THE LEADER LEFT WHY OR WHY NOT?
7. WHAT COULD THE OFFICIAL LEADER HAVE DONE TO MINIMIZE THE INFLUENCE OF THE INFORMAL LEADER?
8. WHAT COULD THE OFFICIAL LEADER HAVE DONE TO INCREASE HIS INFLUENCE ON THE GROUP EVEN IN HIS ABSENCE?

Instructions to Students

This exercise will be completed in groups of six or more students. In each group one student will be appointed as group leader. As will be noted in the task instructions handed out by the instructor, it will be the leader's responsibility to bring the group to a consensus decision on the ranking of a number of items. However, voting on the items is not allowed and a majority vote does not count as group consensus.

You should read only the instructions the instructor gives to you. Do not read the instructions of any other member of the group.

You will have fifteen minutes to complete the task. The leader must then fill out the group ranking sheet showing the rank of those items upon which the group reached a consensus. The group's performance depends upon the number of items upon which the group reached a consensus as to the ranking and the degree to which the group rankings match the correct ranking of the items. After the leader

completes the ranking form, the leader will leave the group and the group will re-rank the items and make any changes they deem appropriate. The leader will then return and the group will compare their answers to the correct answers.

The class discussion which will follow should focus upon the types of influence processes which occurred within the group. The instructor will provide each group with a number of questions to be discussed and answered.

Mountain and Jungle Survival Task

You are among a group of survivors from a plane crash in the Andes Mountains of South America. You were enroute from an Army base in Brazil to the Pacific coast of Peru when the plane went down on to the side of a mountain. The pilot, co-pilot, and twenty other persons were killed. You are dressed in lightweight fatigues. Because of the extreme elevation of the mountain, the temperature at the site of the crash is only 31 degrees Fahrenheit and there is six inches of snow on the ground. Shortly after impact, the plane exploded and burned and you were only able to retrieve only a few items from the plane. Several members of your group are seriously injured. One of the survivors is the navigator from the plane. He told the group that the plane had made some changes from its scheduled course of flight to avoid a major storm. These flight changes had not been radioed to authorities on the ground before the crash occurred. This means that the chances of a search party finding the wreckage of the plane are greatly reduced. The major storm system headed towards the mountain area will further reduce your chances of rescue. The navigator told the group that the temperature is expected to drop and more snow should begin falling within the next 18-24 hours.

The terrain in the area where the plane crashed is very rugged. There are no trees, only some low brush about two

to three feet tall. The majority of the area is sheer rock covered in snow. The elevation at the site of the crash is approximately 16,500 feet above sea level. At the base of the mountain is a lush rain-forest jungle. Mean temperature in the jungle is approximately 95 degrees Fahrenheit with 80-85% relative humidity. The navigator knows your approximate location and he estimates that the closest point of civilization is approximately 50 to 60 miles away. At that location, there is a small town and Peruvian Army outpost. To reach this town would require descending the mountain and crossing through 25 to 30 miles of the jungle. One of the items you were able to retrieve from the plane was a map of the area. The map indicates that in addition to traveling through the jungle, the trip would also require crossing a wide and swift river which is too deep to wade across. Despite these obstacles, walking to the town seems the most logical choice given the fact that the plane was off course and the dropping temperatures and additional snow would spell almost certain death from exposure. Your major problem is deciding what to take with you on the trip. You have no backpacks and will be climbing down some steep cliffs and carrying the injured members of your group. Thus, you are limited to carrying only five to ten items so as to keep your hands free for climbing. Below is a list of items recovered from the plane.

1. 25 lbs. of sugar in five 5 lb. bags

2. one 5 gallon can of gasoline
3. one inflatable life raft (weight approximately 30 lbs)
4. 250 feet of nylon rope
5. a map of the area
6. one sleeping bag
7. a signal flare pistol with two flares
8. one snake bite kit
9. five 1 gallon containers of fresh water
10. two pairs of insulated gloves.
11. an axe
12. a solar heating oven (weight approximately 25 lbs)
13. one flashlight (currently operating)
14. one M-16 rifle with four clips of ammunition
15. one parachute

Your task is to reach a group consensus as to the proper ordering of the above fifteen items in terms of their importance for survival. Order these items from most important to least important. The most important items are those which will be taken on the trip. Simply voting on the importance rating of an item is not adequate. All group members should agree with the importance rating for each item.

GROUP RATING SHEET

LEADER _____

<u>Item</u>	<u>Ranking</u>
25 lbs. of sugar	—
5 gallons of gas	—
life raft	—
250 ft. of rope	—
map	—
sleeping bag	—
signal flare pistol	—
snake bite kit	—
water	—
gloves	—
axe	—
solar oven	—
flashlight	—
M-16	—
parachute	—

Your Role as a Lieutenant in Today's Army

This final chapter will address a number of issues relating to your role as a lieutenant in today's Army. If you are to be an effective leader, you must understand your role in the overall structure of the U.S. Army. Many newly commissioned lieutenants begin their first assignment with the impression that their only duty is to lead a platoon. These officers soon discover that the role of a lieutenant is more complex than anticipated and may involve an assortment of duties that place the individual under considerable stress.

The Lieutenant as a Linking Pin: The Conflicts of Multiple Roles

As a lieutenant, your function resembles that of a linking pin. You serve to link your platoon to the next level of the organization, that is, the company. Figure 4-4 illustrates that the position of a lieutenant is at the top of the platoon and the bottom of the company. Responsibilities exist at both organizational levels and may often seem to conflict. These conflicting responsibilities may be a major source of frustration for the platoon leader. This situation is an example of what is termed "role conflict." Role conflict exist when two or more demands are placed upon an individual and limited time and/or resources

prevent fulfillment of the perceived responsibilities. Figure 4-5 illustrates one type of role conflict which a new lieutenant may experience. It shows that the demands are made not only from the company level but also from the platoon level. The fact that a new lieutenant has responsibilities both from the company and platoon levels represents one important reason why good communication with subordinates and superiors is necessary.

If the lieutenant does not establish adequate communication channels, he or she may be unaware of the expectations the superiors and subordinates have for the lieutenant's leadership behavior. As a result, the lieutenant may experience role ambiguity rather than role conflict. It is important to understand the difference between role ambiguity and role conflict. These two states indicate different levels of development in understanding your work role. If an individual is experiencing role ambiguity, anxiety may be present because he or she does not know what the job entails. The individual will be unable to take constructive steps to improve work performance because he or she is unaware of the real demands of the job. The state of role conflict reflects a later stage of development in understanding your role in the organization. When experiencing role conflict, the individual feels stressed and/or frustrated. Under these conditions, the stress derives from the awareness of conflicting role demands and

not a lack of understanding for what the job requires.

To reduce stress and improve job performance, individuals experiencing role ambiguity and role conflict must take different courses of action. To better understand and fulfill their role in the organization, individuals experiencing role ambiguity must obtain information which will clarify their role. On the other hand, the person experiencing role conflict must do one of two things. First, he or she must obtain additional resources or time which will allow all demands of the job to be met. If this is not possible, the individual must establish a set of priorities or a formal policy indicating which demands are to be fulfilled first.

Company level responsibilities. We have already discussed some of the demands placed upon a platoon leader but have neglected considering the demands on a lieutenant as a company level officer. At the company level, the newly commissioned officer is likely to be assigned additional duties. Figure 4-6 presents an example of a list of additional duties which were actually assigned to a lieutenant who was commanding his first platoon. The lieutenant was given very little information about each duty. As would be expected, the lieutenant felt a great deal of frustration and anxiety. He related that he came into the company thinking he was to lead a platoon and not "to run the entire company."

The "additional duties" that are assigned at the company level may require so much time that a new lieutenant may have relatively little time to work with his or her platoon. The time spent with the platoon must, therefore, be used very efficiently, accomplishing as much as possible in the time available. The necessity for spending a great deal of time with other duties means that you should learn to use the NCO chain of command and to delegate authority effectively. This means that you will have to identify those NCOs who can be relied upon to complete their assigned tasks in a successful manner. The art of delegating authority is not easy. However, it is essential because, without reliance on others, it would be impossible for an officer to complete all of his or her duties.

The Lieutenant as a Manager

The above comments were primarily directed at the requirements of your role at the company level when in garrison duty. Under these circumstances, you will function in the same manner as a manager in an industrial setting. In your position as a manager, you will receive orders and an assortment of information which originates at higher organizational levels. Your task will be to interpret this information and, in turn, coordinate the actions of your platoon to complement operations being conducted within the company. You will be required to understand the goals of

the company and to set goals for your platoon.

It will be your responsibility to evaluate the members of your platoon and decide when additional training is needed. When you are evaluating your soldiers for promotion or for possible additional training, you may find a conflict between your role as a manager and your role as a platoon leader. As a platoon leader, you will want your platoon ready and able to accomplish a mission. As a manager, you must consider what is in the best interest of the U. S. Army as an organization. This means that some of your best soldiers may have to leave the platoon because of promotions or the need for additional training. A question which is often raised by new lieutenants is whether they can afford to release their best soldiers and subsequently maintain unit effectiveness. The solution to this problem resides in long range planning. The new lieutenant should concentrate upon developing soldiers to replace those who deserve to be sent for further training or to be promoted. Thus, the manager's role requires that you act as a planner, coordinator, and decision maker. A full discussion of the lieutenant's role as a manager is beyond the scope of this book and other programs have been developed which cover this area more extensively. The Army ROTC Management Simulation Program developed by the U.S. Army Research Institute for the Behavioral and Social Sciences is an excellent example of one of these programs.

Decision Making

The processes of information gathering and decision making represent important functions which must be adequately performed by an officer. Whether in combat or garrison, you will serve as a coordinator, information gatherer, and decision maker. The following paragraphs delineate the major steps that are usually involved in the decision making process.

Defining the problem and gathering information. The initial step towards successful decision making is to clearly define the problem to be solved. This step normally involves your understanding of orders that have been given to you by your superiors. The orders should be examined and any questions or ambiguities should be immediately resolved. When you can state the problem in specific terms, then it has been adequately defined. For example, a clearly defined problem would be stated as "we need 15 more soldiers to pack the parachutes by tomorrow at 0800 hours." This can easily be contrasted with an inadequately defined problem which might be stated as "we do not have enough soldiers to do our work." Having identified the problem, the next step should be to determine what information is needed to solve the problem. This will, of course, depend upon the mission. A recommended general strategy involves first identifying as many variables as you can which will affect the problem and its solution. Given this set of variables, identify exactly

the information which is needed to specify the state of each variable. For example, the problem of how to attack an enemy position depends on a number of variables-- the locale of the enemy position, the time of day (day or night), the weather, the number of enemy troops, type of weapons involved, etc. Having considered this list of variables, you will have defined the relevant information upon which you should base your decision. For instance, you must determine the number of enemy troops deployed in your vicinity. You should then proceed to obtain as much information from as many sources as possible. This will include subordinates, superiors, peers, and personal observations.

Methods of making decisions. The next step is to select one of several alternative strategies for making the decision. There are a number of ways in which you may go about making your decision. Remember that you are ultimately responsible for whatever decision is made. As an officer in the U. S. Army, you cannot delegate or share responsibility. Given these constraints, you have four basic decision making options available. First, you could rely solely upon the information which you have gathered. Second, you may consult with some of your subordinates individually and then make the decision yourself. Third, you could meet with your subordinates as a group, listen to their opinions, and then make the decision yourself. Fourth,

you could meet with your subordinates as a group and come to a group decision.

In garrison, you may be able to use any of the first three methods, and on some limited occasions, you might be able to use the fourth method. In combat, however, you probably will have to make the decision yourself. This is necessary because in combat situations, decisions must be made very quickly. Furthermore, your soldiers will probably be under severe stress and will entrust you with their safety and survival. Under these conditions, it is highly unlikely that your soldiers will expect or desire a group decision making effort.

Evaluating alternative solutions. The final step in the decision making process is choosing among alternative solutions. You must weigh the resources required by each solution against the resources you have available. After eliminating those solutions which are impractical due to a lack of resources, try to identify the most critical variable upon which the solutions differ. Based upon this critical variable(s), you should then make your choice. For example, suppose that there are two possible plans which may be followed in attacking an enemy position. Plan A requires a large number of soldiers but would enable you to destroy the enemy position within four hours. Plan B, on the other hand, requires only one half the man power but would probably increase the time needed to destroy the enemy's

position to approximately 7 hours. If you have a surplus of soldiers, then man power is not a critical variable. However, if the enemy position is in a strategic location, time may be a critical factor. Under these conditions, plan A and plan B differ on the critical variable of time and plan A should be adopted.

FIGURE 4-4
THE LIEUTENANT AS A LINKING PIN

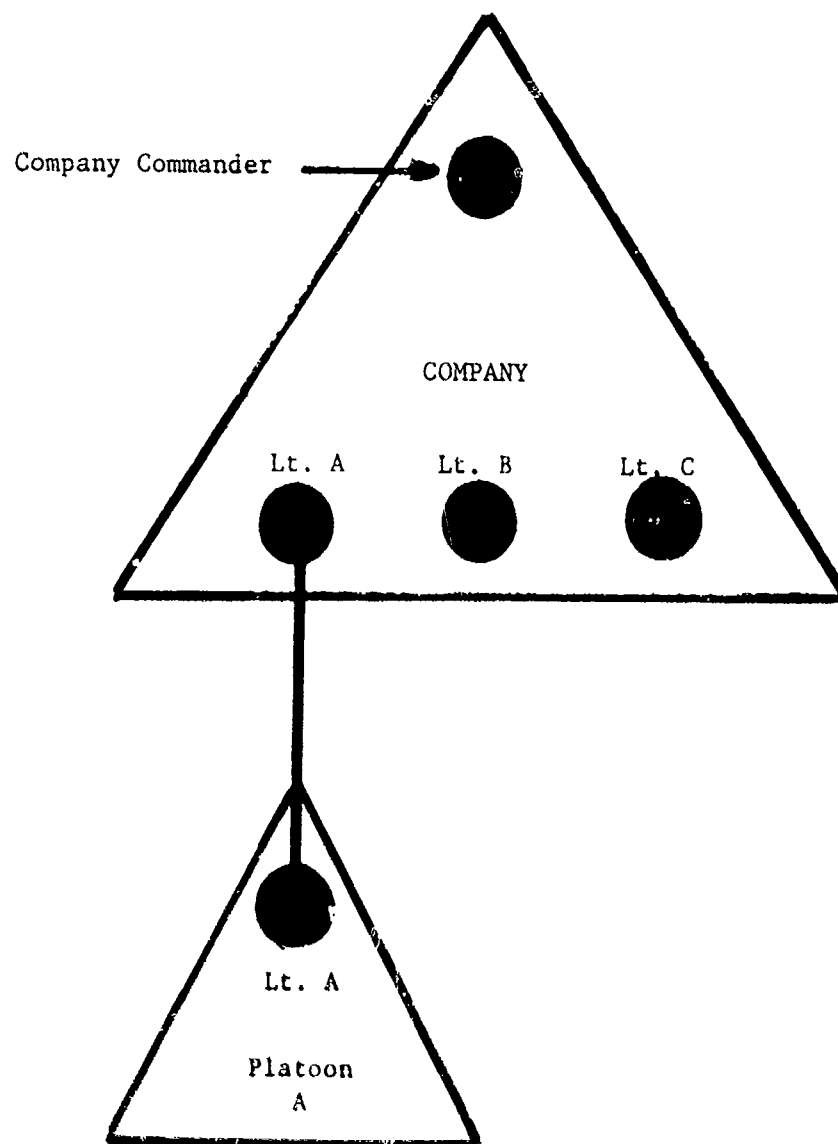


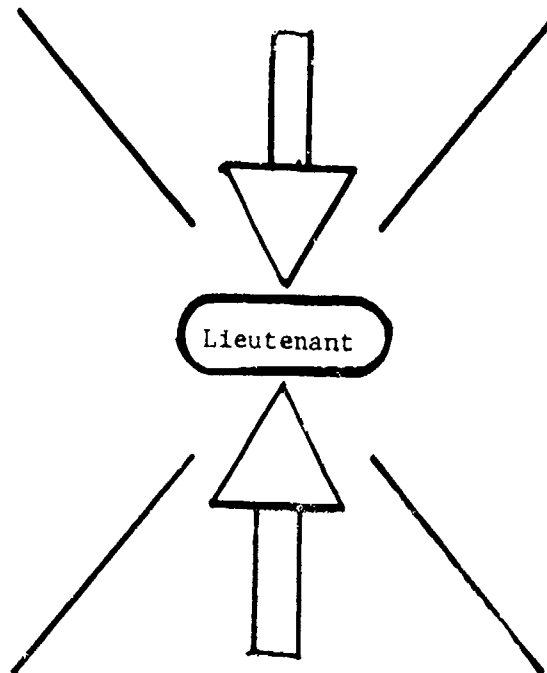
FIGURE 4-5

Role Conflict

Demands and Expectations

of

Company Commander



Needs and Expectations

of

Platoon Members

FIGURE 4-6

ADDITIONAL DUTIES

1. EDRE
2. Crime Prev.
3. Fire Marshal
4. Car pool Coordination Off.
5. Alcohol & Dang. Drug Trng. Off.
6. Comsec Custodian
7. Dep. Asst. Off.
8. Custodian of Radio Active test
Samples & Source Sets
9. Unit Historical Off.
10. NBC
11. Class A Agent (Alternate)
12. Safety Off.
13. Education Off.
14. Key Control Off.
15. Voting Asst. Off.
16. Physical Sec.
17. Training Off.
18. Accident Prev. Off.

Exercise 10

THE ROLE OF A DECISION MAKER: Conflicting Demands

Introduction

As a lieutenant you will make many decisions concerning the operation of your platoon. Some decisions will be routine while others will require considerable thought and effort. You should read the decision-making section of this chapter before doing this exercise. Decision-making is a process involving the following steps:

- 1) Identify the problem.
- 2) Determine what information is needed and where it can be found.
- 3) Determine the extent to which there is one best solution.
- 4) List several alternative solutions, their advantages, and disadvantages.
- 5) Eliminate alternative solutions which do not attain the desired outcome.
- 6) Consider the short and long-term consequences of each alternative.
- 7) Select that alternative which is the most efficient.

Every decision does not require going through the entire process. However, when making an important decision

you should consider each step carefully. Each stage of the decision-making process requires a particular type of information. By explicitly considering each step in the process you will decrease the chances of ignoring a factor which may be critical to arriving at a correct decision.

Objectives

In the real world a leader is seldom faced with decisions which have a simple right or wrong solution. For example, the leader must try to balance the needs of his or her subordinates with the needs of the organization as a whole. Leaders seldom stop and closely examine the steps they follow in making decisions. The objective of this exercise is to explicitly demonstrate such a decision-making process.

This exercise presents a problem commonly faced by a lieutenant. It will require you to proceed through an entire decision-making procedure. The problem, in essence, is a conflict between the needs of the platoon as a whole and the needs of several individual soldiers in the platoon.

You may note that you are given very limited information and many obviously important variables are ignored in this exercise. Remember, the primary objective

is to demonstrate explicitly the decision-making process.

INSTRUCTIONS TO THE INSTRUCTOR

THIS EXERCISE SHOULD BE COMPLETED ON AN INDIVIDUAL BASIS. THE STUDENTS WILL ANSWER SEVERAL QUESTIONS AT THE END OF THE EXERCISE. AFTER COMPLETING THESE QUESTIONS, THE STUDENTS SHOULD PRESENT THEIR ANSWERS TO THE REST OF CLASS.

Instructions to the students

In the present exercise, you will assume the role of Lt. Jones. You will be required to resolve a conflict which is described in the "background information" section of the exercise. All needed instructions and information are contained within the exercise itself. Begin by reading the "background information." Answer each question in the exercise at the time you encounter the question.

Background Information

It is May 1st and you (Lt. Jones) have received two orders from Capt. Wallis: nominate two soldiers for BNCO and one soldier for ANCO training, and send a squad to compete at the Division Infantry Proficiency Competition (IPC). You know that Sgt. Johnson's squad is ideal for both of these activities. Johnson's men, Bestow and Munch, are due to go to BNCC and Johnson himself has requested to attend ANCO. Also, since Johnson's squad is the best trained they should be sent to the IPC. Last year at the IPC, this squad did very well and the same is expected this year.

However, on second thought, you realize that BNCO and ANCO start on June 1st and the IPC is on June 7th. The same men cannot attend both activities. Given that you must determine a solution to this conflict, what do you think would be the most desirable outcome of the decision? **WRITE YOUR ANSWER TO THIS QUESTION IN THE SPACE BELOW**

Question 1: Outcome

Now that you have stated a desirable outcome you must gather the information you will need to:

- 1) determine all alternative solutions to the problem,
- 2) list all the advantages and disadvantages of each alternative, and
- 3) evaluate the relative efficiency of each alternative.

You have contacted Capt. Wallis and Sgt. Rock and have found that two sources of information are available to you. These sources of information are:

- 1) Performance ratings of all the E-5's and E-6's in the platoon over the past year.
- 2) Training records of the different squads in the platoon for the past 6-months.

Are these sources of information relevant to the problem?

ANSWER THIS QUESTION IN THE SPACE BELOW.

Question 2: Information

Considering the problem you are attempting to solve, it should be obvious to you that these sources of information are both relevant. There are other sources of information (e.g., Sgt. Rock's opinion), but for this exercise we will be confined to the above two sources.

You are now ready to determine the nature of the solution for the conflict. Do you think there is one best solution or perhaps several equally acceptable solutions? Since the ideal solution (Johnson's men in both activities) is impossible, would there be more than one moderately good solution? Yes, there are, of course, several solutions; each is an alternative. Think about the different options available to a platoon leader in this situation.

LIST 4 OF THESE ALTERNATIVE SOLUTIONS IN THE SPACE BELOW:

Question 3: Alternatives

1)

2)

3)

4)

Some alternatives are readily apparent, others require some thought. At this point, compare your alternatives with those suggested at the end of the exercise. Retain the four that you feel are "viable alternative solutions".

The next step is to list the advantages and disadvantages of each alternative. Use the alternative comparison chart provided. Use this chart by placing a brief description of each alternative at the top of each column. Look over the possible advantages and disadvantages given in the rows. These are just a few examples of advantages and disadvantages, more can be added. Now, fill in this comparison chart: PLACE A CHECK IN THE APPROPRIATE BOX WHERE THE ADVANTAGES, OR DISADVANTAGES, APPLY. LEAVE THE BOX BLANK IF IT DOES NOT APPLY. Note that Information Sources 1 and 2 appear on the next few pages. These sources and the organizational chart from Exercise 5 will be needed to complete the comparison chart.

YOU SHOULD NOW COMPLETE THE ALTEBNATIVE COMPARISON CHART

Once the chart is completed, the number of disadvantages for each alternative solution should be subtracted from the number of advantages for that solution. The alternative which has the largest difference (advantages-disadvantages) would be preferred. It is possible that a tie will occur between two or more

alternatives. If this is the case, then there are two strategies which may be used to determine the single "best" solution. First, if you can obtain additional information, then additional advantages and disadvantages may be identified which would allow you to choose between alternatives. But if your list of advantages and disadvantages cannot be expanded, then the second approach may be used. This second approach requires weighting the importance of the advantages and disadvantages. If for instance, one advantage is twice as important as another, then assign weights of 2 and 1 instead of checkmarks.

An important factor which may be examined in determining the weight assigned to a particular advantage or disadvantage is to assess the short versus long term implications of a particular action. For instance, the present conflict which you face is essentially which advantage is more important -- excel at the IPC or promotion of your best qualified men? In the short and long run, excelling at the IPC will be good for the platoon's record and will enhance your career. On the other hand, promotion of the best qualified men in your platoon would weaken the platoon's performance at the IPC because less experienced soldiers will attend the IPC. Thus when examining short term consequences, promoting the best qualified soldiers results in a disadvantage. However, in the long run, this action insures better qualified and experienced leaders. A

second advantage of this action would be good platoon morale resulting from the soldiers' beliefs that promotion will follow good performance. Short and long-term consequences must be considered when making decisions which might have an impact in the future. Note that if decisions are always made in terms of short-term gains over long-term losses, then the future of the platoon may be characterized by many problems.

Considering both the long and short term consequences of your alternative solutions, select what you consider to be the "best" single solution. Be prepared to explain your decision to the rest of the class.

Alternative Comparison Chart

Alternatives

Advantages

Well trained section goes
to the IPC

Best qualified go to
ANOC/BNOC

Disadvantages

Disruption of the IPC
section as a team

Extra training is required

TOTAL ADVANTAGES

- TOTAL DISADVANTAGES

- DIFFERENCE

[illegible]

Possible Answers to Questions

Answer 1: Outcome

Nominate the most qualified men for ANCO and BNCO without lessening the chances of successful performance at the IPC.

Answer 2: Information

Two checks, both sources of information are relevant to the problem.

Answer 3: Alternatives

- 1) Send Johnson, Bestow, and Munch to ANCO/BNCO, and send next best trained platoon to the IPC.
- 2) Send Johnson's squad to the IPC and select the next best qualified men to go to ANCO and BNCO.
- 3) Send Johnson, Bestow, and Munch to ANCO/BNCO and have Sgt. Rock and two proficient NCOs train with Johnson's squad to prepare for the IPC.
- 4) Create a new squad just for the IPC with the best available qualified men from the whole platoon. Send Johnson, Bestow, and Munch to ANCO/BNCO.

Information Source 1

Performance Ratings of E-6 and E-5 in Platoon A over the past year as given by immediate superior.

E6 Click - very good

E6 Johnson - outstanding, due for promotion

E6 Spoon - good

E6 Grange - excellent

E5 Barr - very good

E5 Bestow - outstanding, due for promotion

E5 Duvalve - average

E5 Miller - poor

E5 Munch - excellent, due for promotion

E5 Pack - excellent, due for promotion

E5 Rose - average

E5 Weitz - good

Note: See the organizational chart at the end of Exercise 6 to determine where these people fit into Platoon A.

Information Source 2

Training records for sections in Platoon-A over the past six-months in
hours per month

<u>Training</u>	<u>Section</u>		
	<u>Click</u>	<u>Johnson</u>	<u>Spoon</u>
1. Drill	6	8	9
2. Small arms repair	1	1	2
3. Small arms practice	10	10	8
4. Field maneuvering	10	10	6
5. Special weapons	10	10	6
6. Tactics	8	8	4
7. Special courses (average man hours)	8	8	8
8. Other training	10	10	10
	<hr/>	<hr/>	<hr/>
TOTAL hours per month*	63	65	55

* Note these are allotted hours per month, but due to special
circumstances every month these hours actually may be more or less.

Exercise 11

UNDERSTANDING YOUR ROLE AS A PLATCON LEADER

Introduction

The newly commissioned lieutenant must assume a number of different roles in his or her position as an officer in the U. S. Army. These multiple roles require that the lieutenant process large amounts of information from a variety of sources. The lieutenant's ability to budget his or her time and to set realistic priorities will be critical in determining that individual's effectiveness.

Objectives

The present exercise will aid in increasing your awareness of the need for developing certain management skills. Specifically, you will be required to examine a number of "In Basket" items which must be responded to by the lieutenant whose role you have assumed. In dealing with these "In Basket" items, you will gain a realistic view of the demands placed upon a newly commissioned lieutenant.

INSTRUCTIONS TO INSTRUCTOR

THE FIRST PART OF THE EXERCISE SHOULD BE COMPLETED ON AN INDIVIDUAL BASIS. YOU SHOULD HAND OUT THE ROLE INFORMATION AND PACKAGE OF "IN BASKET" ITEMS TO EACH STUDENT. ALLOW STUDENTS 30 MINUTES TO COMPLETE THE

EXERCISE, THEN BEGIN THE CLASS DISCUSSION. YOUR INPUT INTO THIS DISCUSSION WILL BE INVALUABLE SINCE YOU WILL BE THE ONLY MEMBER OF THE GROUP WITH ACTUAL EXPERIENCE IN THE ARMY SETTING.

Instructions to the Students

You will be presented with a sequence of paper-work resembling that which a lieutenant might find on his or her desk in the "In Basket". You must deal with each item in a manner you would consider appropriate if you were in the position of platoon leader. Several methods can be utilized to deal with the "In Basket" items. For instance, you could write a letter, note, or memo, and put this into an "Out Basket" or make a note to yourself to talk with someone, order something, or just file the "In Basket" item in an appropriate place. Each "In Basket" item requires some type of written response. These responses should be written on a separate sheet of paper for future reference in a class discussion at the completion of the exercise.

Note that there are no absolutely correct or incorrect responses. Rather, responses to the "In Basket" items are relatively more or less efficient than what one would expect from a successful platoon leader.

This exercise is set in the same context of the previous exercises. You will assume the role of Lt. Jones in Company XYZ. Many of the "In Basket" items require some

knowledge of the personnel in Company XYZ and especially Platoon A (i.e., Lt. Jones' platoon). For this reason, efficient handling of the "In Basket" items will be in part determined by your knowledge of the personnel and operations of Platoon A, gained from earlier exercises.

Role Information

As Lt. Jones, you have returned from lunch to find several new items in your "In Basket". It is Friday, July 11, and you want to take care of all your paper work before the weekend because on Monday, you have a reconnaissance training exercise to conduct with your platoon.

For each "In Basket" item, make a note on what you propose to do about the item. Use sufficient detail so that others can understand what you plan to do about the item. The following pages contain eleven "In Basket" items. Some items will take longer than others to deal with. Allow about thirty minutes to respond to the eleven items. This will insure that there will be sufficient time for class discussion after everyone completes their responses to the "In Basket" items.

July 11

Company XYZ

Platoon A

Bld. 429

Lt Edward Jones:

You and your wife are cordially invited to attend the 22nd Annual Division Banquet. This year the guest speaker will be Major General Bill Meadow. He will talk about the Division's strategic role in World War II.

The banquet will begin at 1800 hours on Saturday, July 26, and will be held at the Infantry Hall Dining Facility. Dress uniforms are in order. There is a fee of \$20.00 per couple to cover the expense of the meal.

Please respond by July 19 if you wish to attend this banquet. to:

Advance Registration

22nd Annual Division Banquet

Building 5

Att. Lt. Brady

July 11

Lt. Jones,

I had written you about two months ago concerning a disciplinary problem with Pvt. Kahn. Since that time Pvt. Kahn has not openly disrupted squad operations but he has attempted to undermine my authority. I feel that this is the reason why my squad performed poorly in the last PTX. I am not sure, but I feel that Pvt. Kahn is trying to make me look bad. I need to talk to you before the Recondo exercise this coming Monday.

Respectfully,

J. Spron

July 11

Company XYZ

Platoon A

Lt. E. Jones

I am sorry to inform you that only three of the four personnel transports you requested are available for your use on Monday, July 14. One of the transports just recently developed a serious oil leak and will not be available for some time. All other transports are being used. I can only suggest you talk to Motorpool E, they may have an extra transport.

H. Clayton

Sgt. Marshall

July 7

Company XYZ

Platoon A

Lt. E. Jones,

This is to verify your work order for installment of a Water Heater (PP4-167) in Bld. 430. The work crew will arrive by 700 hours on Monday, July 14. It would be most helpful if you can have someone be there to show the work crew where to install this heater.


Physical Plant Operations

Bld. 728

883-0952

July 6

Company XYZ

Platoon A

Lt. Jones,

There seems to be a mix-up in the paint your men picked up earlier this week. They were to get three 5-gallon cans of vinyl white paint (4A39). But somehow they picked up three 5-gallon cans of latex white paint (1A39). These paints were picked up by a Sgt. Spoon. If you have not started painting yet, please come by and exchange the paint you received for the correct paint that you originally ordered.


Paint Supply Facility

Bld. 725

883-0820

July 10

Company XYZ

Platoon A

The procedures utilized in the Battalion for processing paper work have in the past resulted in rather slow processing. This has been most obvious from the rash of complaints I have received lately. Hence, we are going to implement some new procedures, including a computerized accounting system. I would like to get together with all the lieutenants in the Battalion to explain this new system. This meeting is tentatively set for Thursday, July 17, at 1100 hours in the Battalion Conference room. Please plan to attend this meeting.

Sgt. M. J. Duke

Battalion HQ.

Building 385

883-2826

July 7

Battalion

Attention: Recreation Officers

As you know, this is the time of year when our Division sports contests are held. Persons interested in participating need to first qualify in a pre-tournament competition. Competition for the following activities are still open:

Wrestling

Boxing

Fencing

Track

Swimming

Tennis

Volleyball

If any person is interested in participating, please come by Room 2A in Bld. 18 or call 883-5101 for further details or to sign-up.

7/11

Lt. Ed Jones:

I have the terrain maps you need for the Recondo exercise as well as some suggestions for where to locate your soldiers. See me sometime this afternoon.

Capt. W. Wallis

Lt. Jones —

Please add this to your records —

Purchase Record

July 7

Rock

Company XYZ

Platoon A

July 3

<u>Code</u>	<u>Item</u>	<u>Number</u>	<u>@ Cost</u>	<u>Total</u>
OA33	Paint (5-gal. green)	10	\$18.21	\$182.10
4A39	Paint (5-gal. vinyl white)	3	22.05	66.15
JF59	Gas cont. (@ 5-gal.)	6	8.40	50.40
AS32-8	Net and line	5	4.10	20.50
AS32-12	Tarp and rope	5	7.36	36.80
BG5-R4	Rounds (@ 500)	5	35.29	176.45
BG19-R4	Tracer (@ 250)	2	22.65	45.30
HP-3B	Lightbulbs - 12	1	4.44	4.44
HG-811	Writing paper - 12	10	3.84	38.40
SP-T31G	Trophy	1	16.94	<u>16.94</u>
TOTAL				\$637.48

Adjust your records accordingly.

In case you are wondering, these items were given to Sgt. Jackson in Platoon C and are to be returned next month.

Rock

Lt. Jones :

While you were at lunch, a Major Westley called. He is with the OE office and wants to know if you will be willing to submit a platoon Organizational Effectiveness report every month to assist them in the research they are doing. I didn't know how you felt about it, so I told him you would call him back. His number is 883-9237

Roch

P.S. I'll be
back in the
office at about
1430 hours today.

After going through your "In Basket", you sit back in your chair and breathe a sigh of relief. Suddenly there is a loud roar as a tractor trailer truck backs into the Battalion loading zone. You walk out to see what is going on. Men have started unloading a backhoe and crates of equipment. One of the men comes up to you, hands you the form on the next page, and asks you to sign for receiving this equipment. What do you do with this "In Basket" item?

REPOLIA CONSTRUCTION EQUIPMENT INC.

SHIPPING ORDER

Col. Smith
Battalion
Bld. 422

<u>Code</u>	<u>Item</u>	<u>Number</u>	<u>@Cost</u>	<u>Total</u>
BH-A5	Backhoe (#5657-S382-997)	1	\$52,905.00	\$52,905.00
LE-1	Shovel	24	8.95	214.80
LE-3	Pick	24	8.65	207.60
HE-2	Air hammer	2	325.95	651.90
TOTAL				\$53,979.30

Sign for P eiving:

DATE-

Military Leadership: An Opportunity for the Future

In the introduction to this text, you were presented with a number of issues and topics we claimed were important to the study of leadership. At that time, you were told to simply consider each issue and to note the questions each topic raised. While reading the text and performing the exercises, you have probably gained many insights into what is required of an effective leader. In an attempt to aid you in answering your questions, we presented you with a review of current leadership theory and a model to serve in organizing your thoughts concerning leadership. We also discussed basic skills you will need to begin development as an effective leader.

Despite these efforts, your having completed the present text does not insure that you will be an effective leader. However, it guarantees that you will be more sensitive to those factors important to successful leadership in the U. S. Army. But more than sensitivity is required. You must assume your first command with a positive attitude and confront each problem with an eagerness and willingness to learn.

The time you spend as a platoon leader represents only a single stage in your development as an individual. If you assume a positive attitude and are willing to learn, then the time you serve as a lieutenant will be a period of

opportunity. It will be a time during which you will develop the skills needed for a successful career as a leader in, not only the military, but also in industrial, educational, or governmental settings. Our country needs effective leaders in all of these settings and you have before you now, the opportunity to meet this need.

Even if you adopt a highly positive attitude you must expect to experience the many doubts and anxieties usually encountered by a new college graduate. Whether you are newly married or single, you must adjust to a new pattern of living. It is at this point in your life that you may first encounter monthly car payments, mortgage payments, and many other financial obligations. While attempting to adjust to these personal changes, you will be required to fulfill your role as a commissioned officer in the U. S. Army. As an officer, you may be concerned with many problems such as gaining acceptance by your subordinates and the ratings given to you by your commanding officer on the Officer Efficiency Report (OER).

Certainly this stage of your life will be beset with many doubts and anxieties which may affect the decisions you make concerning your career. You must realize that these doubts and anxieties are experienced by most college graduates. Your classmates who entered the civilian work force are likely to experience similar problems and frustrations. Regardless of whether you remain in the U. S.

Army or enter a civilian organization or government agency,
your development as an effective leader will depend upon
your commitment to continued self-development.

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